Records Management Handbook for United States Senate Committees

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FOREWORD

Publication of this handbook represents a particularly significant milestone in the Senate's efforts to improve the quality and accessibility of its historically valuable records. Fifty-one years ago, the Senate established the initial milestone through its decision to transfer its permanent records to the newly opened National Archives Building. Ever since Congress moved to Washington in 1800, Senate clerks had followed the practice of sending noncurrent records to the Capitol's attic and basement storerooms and promptly forgetting about them. Over the years, war, vermin, and souvenir hunters ravaged these documents. In 1927 a young clerk in the Office of the Secretary of the Senate discovered old records stacked in boxes and strewn across the floor of a basement storeroom. Realizing that he was standing on an official-looking document, he later recalled that it bore two important markings—the print of his heel and the signature of Vice President John C. Calhoun.

During the following decade, personnel in the Office of the Secretary of the Senate searched the Capitol Building, finding in more than fifty separate locations records dating from the First Congress. Early in 1937, an appraiser from the National Archives examined the resulting collection and found that many records were dirty, water-damaged, and brittle. In spite of their poor condition, the examiner concluded: "From the standpoint of historical as well as intrinsic interest, this is perhaps the most valuable collection of records in the entire government. It touches all phases of governmental activity and contains a vast amount of research material that has never been used."

Since 1937, under provisions currently set forth in Senate Rule XI, the Senate has directed its Secretary to "obtain at the close of each Congress all the noncurrent records of the Senate and of each Senate committee and transfer them to the National Archives and Record Administration, subject to the orders of the Senate." The Secretary's responsibility includes the establishment of standards to ensure that permanently valuable records are identified and that only records of this enduring quality are preserved for future generations.

The past fifteen years have brought major challenges for the management of the Senate's permanent records. In the mid-1970s, the Senate significantly expanded staff resources available to its more than one hundred committees and subcommittees. The growth of minority party staffs and the addition to each committee unit of members' personal staff representatives vastly increased the number of persons creating potentially valuable records. The introduction of office automation systems, with their efficient capacity to eliminate noncurrent documents, further complicated efforts to retain files of permanent worth. In 1981 party control of the Senate shifted for the first time in twenty-six years. This event stimulated a fundamental reevaluation of Senate records management and disposition procedures, as well as a major transfer of long-held records from committee storerooms to the National Archives.

In response to these developments, the Secretary of the Senate established the position of Archivist within the Senate Historical Office, and recruited Karen Paul from the National Archives to undertake the responsibilities of this challenging assignment. In 1985 Karen Paul produced *Records Management Handbook for United States Senators and Their Repositories,* which has since become an indispensable reference source for senators and the libraries to which they donate their office files and personal papers.

The present volume is intended as a companion to the 1985 publication. Special thanks are due to the dozens of committee staff members and staff of the Senate Computer Center Education Services who have constructively reviewed earlier drafts and have generously shared their insights. I particularly appreciate the assistance of the National Archives' Legislative Archives Division, under the able direction of R. Michael McReynolds, and the Machine-Readable Archives Branch under the direction of Edie Hedlin. Barry Wolk and John Steen in the Senate Office of Printing Services, Liz McAlhany, Special Assistant for Information Systems in the Office of the Secretary, and John Hamilton in the Senate Historical Office, generously contributed their expertise to this project. Elizabeth Hornyak Morrison skillfully prepared the automated format from which the volume was published. Finally, I extend deepest appreciation to Karen Paul. I am certain that, in the years ahead, those involved in the creation, management, and use of permanent Senate records will be grateful for the high professional standards that she brought to the conception and writing of this important handbook.

Walter J. Stewart
Secretary of the Senate

CHECKLIST: COMMITTEE RECORDS OF PERMANENT VALUE

While each committee is unique in terms of staffing patterns, workload, and area of jurisdiction, all committees generally perform similar functions. Basic files, listed by functional categories, should be retained permanently, either in their totality or a sample, depending on the file, for eventual deposit with Senate records at the National Archives.

REVIEW AND REPORTING OF LEGISLATION

Minutes of business meetings and "mark-ups"
Staff memoranda and working papers retained by chief counsel, staff director, and professional staff members
Hearing transcripts
Legislative "bill" files
Chronological or "reading" files
Communications with Senate leadership and committee members
Electronic files, documentation, and indexes
Audio-visual materials
Press releases
General correspondence or "subject" files
Record of roll call votes

OVERSIGHT/INVESTIGATIONS

Staff memoranda and working papers retained by chief counsel, staff director, and professional staff members
Communications with Senate leadership and committee members
Hearing transcripts, one series for open hearings, a separate for closed
Briefing materials
Oversight/investigative case files, including subpoenaed documents
Electronic files, documentation, and indexes
Press releases
Studies, reports, surveys, questionnaires, exhibits
General correspondence or "subject" files
Record of roll call votes
Audio-visual materials

CONSIDERATION OF NOMINATIONS

Staff memoranda and working papers retained by chief counsel, staff director, and professional staff members
Communications with Senate leadership and committee members
Hearing transcripts
Briefing materials
Nominee biographical and financial data files, committee questionnaires
Record of roll call votes
Executive reports

CONSIDERATION OF TREATIES

Staff memoranda and working papers retained by chief counsel, staff director, and professional staff members
Communications with Senate leadership and committee members
Hearing transcripts
Briefing materials
Record of roll call votes
Executive reports

OFFICIAL COMMUNICATIONS

Executive communications
Petitions and memorials
Presidential messages
Reports required by law

CONGRESSIONAL BUDGET PROCESS

President's budget request
Committee views and estimates reports
Congressional budget office reports
Hearing transcripts
Minutes of committee business and "mark-up" meetings
Appropriations "bill" files
Revenue "bill" files
Budget resolution files
Budget authority rescission and deferral files
Correspondence and staff memoranda retained by chief counsel, staff director, and professional staff members
Staff analytical memoranda concerning economic conditions, president's economic assumptions, and alternative economic measures
Communications with Senate leadership and committee members

OFFICE MANAGEMENT

Committee policy memoranda
List of current staff and their area of specialization
Staff organization chart or memo
File manual
Committee Calendar
Committee activities report
Committee annual budget requests, supplemental material, and authorization hearing transcripts

EXECUTIVE SUMMARY

Records Management
A Committee Responsibility

Committee records document the Senate's role in formulating legislation, performing oversight, reviewing nominations and treaties, and conducting investigations. Because these records are the property of the Senate under Senate rule and statute, committee members and staff will want to establish office regulations and procedures that ensure the preservation of historically valuable material. To achieve this goal, each committee and subcommittee office should establish sound records management practices and require conscientious implementation on the part of all staff.

Effective records management leads to the creation of well-defined office files, timely and systematic removal of transitory records, and the designation and control of permanently valuable material. It both enriches a committee's total information resources and determines the overall level of office efficiency. In fact, given the increased volume of records acquired by committees and the fragility and transitory nature of electronic documentation, astute records management is essential to a well-run office.

Getting Started
An Office Policy

Ideally, committee staff should establish an office policy at the beginning of each Congress, before subsequent activities limit the opportunity for careful records preservation planning. But it is never untimely to initiate records management, and offices without regulations should consider devising a policy and implementing a program immediately. If this task is left to the end of a Congress, staff will find themselves overwhelmed by its magnitude and the quality of final documentation will assuredly suffer.

An office policy should remind staff of Senate Standing Rules (XI and XXVI(10)) governing ownership and disposition of committee records, emphasize the importance of records management, authorize implementation of specified records maintenance routines, and set forth guidelines for staff who wish to make either electrostatic or microform copies of their files to take with them when they leave committee employment.

A solid records management program requires early identification of permanently valuable files so that they may be filed separately from transitory material. In the case of electronic records, administrative controls must be implemented to guarantee the preservation of permanently valuable information stored on magnetic media. Guidelines for identifying valuable files are provided in the following chapters. Individual assistance is available from the Senate Historical Office and the Senate Archivist who also assists with all aspects of records disposition and transfers of material to the National Archives.

Management of Automated Records

Automated records represent an increasingly important part of the materials created and maintained by committee offices. Because such records are stored in a form that is easy to modify and update, they are sometimes mistakenly considered to have temporary or transitory informational value. On the contrary, certain information stored on these systems will have permanent value for the office and for future research. It is the responsibility of the staff to identify this information and ensure that it is systematically retained. Consultation with the Senate Archivist is recommended.

Every office using automated systems should compile written guidelines that specify:

- ☐ instructions for compiling an inventory of automated files and information
- ☐ a list of subject (index) terms to be used for indexing documents
- ☐ documentation to be saved with each automated record
- ☐ disposition statement for each information file
- ☐ guidelines for deleting and reusing magnetic media
- ☐ physical maintenance requirements

Office automation poses unique information retention problems which require careful records management planning. Staff who recognize and accept this responsibility are fulfilling the requirements outlined by Senate rules regarding preservation of committee records. By so doing, they are contributing in a unique and lasting way to the Senate's documentary heritage.

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INTRODUCTION

SIGNIFICANCE OF COMMITTEE RECORDS

Congressional committees have been described as the nerve ends of Congress, the gatherers of information, the sifters of alternatives, and the refiners of legislation. When they study legislative proposals and consider nominations and treaties, they create and collect a wealth of information pertaining to the legislative process and all aspects of political, economic, and social life. As watchdogs of the executive branch, they compile records that document and assess the efficiency and effectiveness of agency programs and detail the extent to which these programs carry out the intent of enacted laws. In their investigative role, they sometimes identify public problems ignored or overlooked elsewhere, and develop proposals to deal with them. As Woodrow Wilson once summarized, "Congress in its committee rooms is Congress at work."[1]

The records that are created or received and maintained by committee staff as a result of these activities constitute a singularly unique and vital body of documentation not only of the Senate's history and role in formulating legislation, but also of the general history of Congress and the American people. Committee records are an essential component of the Senate's institutional "memory." Properly arranged and preserved, they contain evidence of each committee's organization and functions, furnish a complete legislative history of individual bills and laws, and serve as a rich source of reference material for topics within a committee's jurisdiction.[2]

RECORDS MANAGEMENT RESPONSIBILITIES

Managing committee records and information is an important responsibility that is usually delegated to each committee's chief clerk. Because committees vary in size and organizational structure with most having "majority" and "minority" staffs, records management duties must be shared by key minority and subcommittee staff. With the increasing use of word processors and electronic mail systems by professional staff, committee systems managers will be responsible for designing and implementing system-wide procedures that facilitate the retention of permanent committee records. Eventually, all committee staff must bear some responsibility for the preservation of records. Ideally, each administrative unit within a committee, including the full committee, subcommittees, majority, and minority staff should designate one individual who will be responsible for the coordination of filing and records disposition within that unit.

The quality of files and information management within a committee can influence the legislative and oversight effectiveness of staff and contribute to their ability tc conduct efficient and accurate investigations. Staff *should be able to determine the legislative history of any particular section of a law*. They can do so only when files have been deliberately arranged and maintained. Good records management is especially critical in view of committees' vast collections of documents and an increasing reliance on technologies which make it easy to alter and erase information.

Records that are organized and well-maintained serve the needs of staff who need to research the basis and background of landmark legislation. In a wider context, and perhaps most significantly, a well-maintained body of records contains information essential to documenting the history of the committee and the wide spectrum of subject area issues which confronted each generation of members and staff.

Because of the significance of committee records and the need to ensure their preservation, the Senate Historical Office, under the direction of the Secretary of the Senate, has assembled this handbook of office filing, files maintenance, and records disposition. Chief clerks, administrative clerks, and computer systems managers should use the guidelines to set up records management procedures ap-

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[1]Kravitz, Walter, "The U.S. Committee System, *The Parliamentarian*, July 1979, Vol. LX, no. 3, p.123.

[2]Senate Report No. 1042, 96th Congress (1980), Relating to Public Access to Senate Records at the National Archives, reproduced in Chapter IX, Exhibit 9-3

their individual offices. The sample document naming and filing conventions found in Chapter IV may be used to improve automated systems management within an office. Committee staff must keep in mind that if early and decisive consideration is not given to the maintenance of committee records, it is likely that staff efficiency and effectiveness will suffer and that the Nation's historical record certainly will be impoverished.

OBJECTIVES OF RECORDS MANAGEMENT

Efficient management of committee records has four main objectives:

- ☐ Establishment of an office files and automated systems policy for each administrative unit including all majority, minority, and non-designated staff of the full committee and all subcommittees
- ☐ Creation of well-defined office files that are arranged in efficient and logical filing sequences and are free of unneeded papers
- ☐ Timely and systematic removal of transitory records, either for later destruction, microfilming, or sampling
- ☐ Designation and control of permanently valuable committee records including paper records, microfilm, and records created and stored on magnetic media

To establish an effective records program, it is important for the committee chairman and ranking minority member, or their designees, such as the majority and minority chief counsels, staff directors, or chief clerks, to issue a committee-wide records management memorandum. Such a memo should:

- ☐ Remind all committee staff that records created or received and maintained as a result of committee-related work constitute records of the committee
- ☐ Stress the importance of good records management in all offices throughout the committee
- ☐ Require implementation of a records management plan
- ☐ Authorize committee members or staff who so wish to make either electrostatic or microfilm copies of their files to take with them when they leave the committee
- ☐ Require all committee staff to periodically review their electronic files and transfer permanent records to an archival storage medium. Staff leaving committee employment should be required to transfer all electronic files that may be needed by other staff members

CHAPTER I: COMMITTEE RECORDS: A DEFINITION

A precise and comprehensive definition of congressional committee records is not to be found in statute or in the Senate Standing Rules. Congress, however, has provided the executive branch with a definition of records in the Federal Records Act, 44 USC 3301 (1982). In a chapter on the disposal of records of federal agencies, "records" are defined as "all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received . . . in connection with the transaction of public business and preserved . . . as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data in them."

Committee records, then, would include all documentary materials, regardless of physical format, made or received and maintained by committees in connection with the transaction of committee legislative and executive business. Such records document committee work on bills, oversight and investigations, consideration of nominations and treaties, and impeachment proceedings. They are considered appropriate for preservation either as evidence of the organization, functions, and operations of the committee or because of the informational value of the data and facts they contain. For disposition purposes, it is important to distinguish records of lasting value from those which have only short term administrative uses. Whenever possible, records of lasting value should be filed separately from those of transitory usefulness. (Detailed discussions of permanently valuable and transitory records are included in Chapter II, "Committee Functions and Their Records," and Chapter III, "Files Maintenance and Disposition Plan.")

There are three tests for "informational value" that should be applied in determining whether to preserve a specific group of records. They relate to the records' *uniqueness, form,* and *importance.* In this context, "uniqueness" means that the records cannot be found elsewhere in as complete or usable form. The test related to *form* concerns the degree to which the information in the records is concentrated. It also relates to the physical condition of the records and the ease of access to the information contained therein. The research *importance* of a group of records is a somewhat subjective matter that can best be determined by use of similar bodies of records.

Although those who create the records are in a position to evaluate their relative immediate importance, their perspective can be limited by their "familiarity," with the result that they tend to underrate the material's longer range significance. Assistance with the identification and transfer of records of enduring value is available from the Senate Historical Office and Senate Archivist (224-6900).

OWNERSHIP AND DISPOSITION AUTHORITY

The ownership and disposition of committee records is defined by statute and Senate rule. Section 202(d) of the Legislative Reorganization Act of 1946, 2 USC § 72a(d) (1982), and Senate Standing Rule XXVI(10)(a), make clear that the records of Senate committees are the property of the Senate. 2 USC § 72a(d) provides in part:

> *All committee hearings, records, data, charts, and files shall be kept separate and distinct from the congressional office records of the member serving as chairman of the committee; and such records shall be the property of the Congress and all members of the committee and the respective houses shall have access to such records.*

Senate Standing Rule XXVI reiterates that "such records shall be the property of the Senate and all members of the committee and the Senate shall have access to such records."

Disposition of committee records also is governed by statute and Senate rule which state that the Secretary of the Senate is required to obtain noncurrent records from committees and to transfer those

records to the National Archives. The Senate Historical Office, which operates under the jurisdiction of the Secretary, is charged with the collection and administration of all Senate committee records. (See 44 USC § 2118 (West Supplement 1985), reproduced in Appendix C.) Senate Standing Rule XI states:

> *No memorial or other paper presented to the Senate, except original treaties finally acted upon, shall be withdrawn from its files except by order of the Senate.*
>
> *The Secretary of the Senate shall obtain at the close of each Congress all the noncurrent records of the Senate and of each Senate committee and transfer them to the National Archives for preservation, subject to the orders of the Senate.*

Further clarification is provided in a Senate Legal Counsel memorandum (reproduced in Appendix A). The Legal Counsel comments that 2 USC § 72a(d) applies to "all" records of a committee and 44 USCA § 2118 applies to "all" noncurrent records. "The 'all' in 2 USC § 72a(d) modifies every category of records which follows, including 'files'." *Consequently, there is no tenable distinction between "committee files" and "staff files." All records created or received by Senate committee staff in connection with Senate committee business are the property of the Senate.*

PERSONAL FILES

It is, of course, possible that committee staff also may keep purely personal papers in their office. (See Appendix A, Senate Legal Counsel memorandum concerning ownership of committee records.) For example, many Senate employees are interested in politics and they are not covered by the restrictions in political activity imposed by the Hatch Act on other federal employees. Unless specifically prohibited by individual committee rules, and as long as they comply with Senate Rule 37 on Conflict of Interest, and Rule 41 on Political Fund Activity, staff may engage in campaign activities during their free time or off-duty hours. Before engaging in campaign activity, however, it is advisable to contact the Senate Ethics Committee. (See Senate Select Committee on Ethics, *Interpretative Rulings,* Senate Print 99-193, Numbers 3, 5, 22, 59, 88, 154, 194, and 263.) The Ethics Committee specifically stated in Ruling Number 153 that the rulings concerning participation in campaigns "are applicable to employees of individual senators, staff of Senate committees, and employees working for officers of the Senate." Any records resulting from campaign activities would be personal papers, not committee records.

Other examples of personal files which might be kept by staff in a committee office include papers accumulated before joining the committee, materials pertaining to outside business pursuits, family and personal relationships, teaching and educational programs, and diaries and personal notes which are *not* prepared for transacting committee business. Executive branch regulations implementing 44 USC 3301 *exclude* those "papers of a private or nonofficial character which pertain only to an individual's personal affairs," *provided that they are clearly designated and kept separately from the records of the office* (36 CFR § 1222.20(d)). (See also Appendix A, memorandum of Senate Legal Counsel.) Committee chief clerks should caution staff to follow this example and file any personal records separately from records documenting committee business. This will help to avoid inadvertent destruction or removal of official committee material and to facilitate the disposition of committee files.

POLITICAL FILES

Because many committee staff are designated as either majority or minority, there is sometimes a tendency for these staff to regard their files as "political" and, therefore, "private," or "personal." It is important to distinguish between committee "political" duties and purely private "political" activities.

Jack Maskell, a legislative attorney with the American Law Division of the Congressional Research Service comments on the somewhat confusing aspects of "political" activity in a March 16, 1981 report:

> Although the distinction between "official" duties and "campaign" activities is a common one in congressional matters, because of the various public, political, and official roles which a member may assume in connection with his position in Congress, there may be instances where this distinction is less clear than in others, or where one area may intrude into the other. Some confusion may initially be caused by the labeling of some of the official representational duties of a Member of Congress as "political" in nature.[1]

For purposes of distinguishing between committee records and personal political records, staff should keep in mind that certain legitimate activities comprising committee work, such as developing majority and minority positions on legislation, may have "political" overtones or perspective. They, however, should not be confused with private political activities which are characterized in Senate rules governing

[1]Jack Maskell, "Use of Congressional Staff on Political Campaigns," American Law Division, Congressional Research Service Report, March 16, 1981, page 13.

conflict of interest and campaign activities. As listed in the CRS report, activities typically understood by congressional rule, statute, and practice to be "political" or "campaign" activities include the solicitation of political contributions, canvassing votes for a candidate in a primary or general election, organizing a political fund-raiser, coordinating campaign volunteer lists, etc. These records would indeed be personal records and not records of a committee.

On the other hand, committee staff do perform official committee duties that have political overtones but do not result in the creation of personal papers. These include preparing majority and minority drafts of legislation, individual staff memoranda to majority and minority committee members, correspondence with interested parties having a majority or minority perspective, drafting statements with a political point-of-view for the majority and minority members, or compiling majority and minority briefing materials. But, because these materials were either *received or created and maintained as a result of performing committee business,* and collectively serve to document all points of view within a committee, they are quite properly regarded as committee records. *It is especially important that each committee retain as complete a record as possible of majority and minority consideration of bills, treaties, nominations, and of majority and minority oversight and investigative work.*

RECORDS OF LEGISLATIVE ASSISTANTS FOR COMMITTEE WORK

Questions frequently arise concerning the ownership of records created and received by individuals that senators may designate to assist them in connection with the senator's membership on a committee. Public Law 95-94, Sec. 111(c)(2) states that such employees:

> *shall be accorded all privileges of a professional staff member (whether permanent or investigatory) of such committee including access to all committee sessions and files, except that any such committee may restrict access to its sessions to one staff member per senator at a time and require, if classified material is being handled or discussed, that any staff member possess the appropriate security clearance before being allowed access to such material or to discussion of it.*

Because records maintained by this staff person would seem to fall within a standard definition of committee records, "records received or created and maintained as a result of performing committee business," it is helpful, in such instances, to consider the source of funding to determine records ownership. If the staff person's salary is funded from the senator's clerk-hire money, the records appropriately belong with the member's collection of personal papers. If, on the other hand, an individual is on the committee payroll and is paid by committee funding, no matter how closely the person works with an individual member, the records received or created and maintained by this individual pursuant to his/her responsibilities as a committee employee, are records of the committee and belong to the Senate.

DOCUMENTS RECEIVED FROM EXECUTIVE AGENCIES

Committees routinely receive documents from executive agencies, both in the form of formal executive communications and reports required by law, and documents requested to facilitate the work of the committee in oversight or investigative matters. In addition, committees sometimes request and review quantities of agency documents for general informational purposes.

Occasionally, a question arises concerning the ownership and disposition of such documents, especially if they are marked with a security classification or are regarded as "sensitive." In the case of executive communications and reports, it is clear that these records by statutory requirement belong to the committee and should be retained with permanent files because of their informational and legal value.

To determine ownership of documents that a committee originally obtained from an executive agency in the course of conducting an investigation or oversight, the Senate Legal Counsel comments that "in general, copies of documents that were provided to a committee have, by virtue of their provision and use, become Senate committee records, which should be preserved along with the committee's other records." He points out that reference to case law under the Freedom of Information Act suggests that documents would fail to become committee records only if control over them has not passed from an agency to a committee and if they are not subject to the committee's free disposition. Accordingly, this standard would probably only be satisfied if an agency had merely loaned its documents to a committee, with an explicit contemporaneous understanding between the agency and the committee at the time the document was loaned, that the document was to be returned to the agency when the committee no longer needed it. *The Legal Counsel goes on to say, however, that "it should not ordinarily be necessary for committees to enter into such agreements with agencies, since the applicable Senate rule and resolution provide adequate flexibility to accommodate agencies' confidentiality concerns in the course of preserving Senate records."* (See memorandum of the Senate Legal Counsel, Appendix A.)

Documents that are received by committees for the purpose of routine review or "information only" may be included in the definition of committee records, but the committee may decide not to retain them for inclusion with permanent files because they serve only a short term administrative use. Assistance with the identification and disposition of permanently valuable agency-originated documents is available from the Archivist, 224-3351.

COMMITTEE CONSULTANTS AND DETAILED PERSONNEL

Committee staffs frequently are augmented by the addition of individual consultants to the committee's payroll or by contracting for services of individuals or organizations. Use of consultants has varied widely and depends in large part on the nature and amount of committee business and the specific needs for expertise beyond that of permanent staff. Committees also may request executive and legislative branch agencies to detail employees for specified periods of time. (For information on procedures and conditions see Committee on Rules and Administration, *Expenditure Authorizations and Requirements for Senate Committees.*)

Records of consultants and detailed personnel are considered Senate property. This includes records created by interns or fellows as a result of work performed for the committee. As such, they must be retained with committee files and disposed of according to Senate Standing Rules. This is especially important in cases where a consultant has been hired to perform a survey to produce an electronic data base, which because it can be manipulated and altered, may be of continuing use to a committee. In this case, even the initial survey data may have long-term research value.

CHAPTER II: COMMITTEE ORGANIZATION, FUNCTIONS, AND RECORDS

This chapter presents information on committee activities together with the kinds of records required to document them. Its purpose is to provide administrative staff with an overview of basic organizational structure and corresponding methods to rationalize office information resources. It should be read by all newly appointed staff charged with overseeing records management and systems administration or by staff who wish to modify existing procedures.

A major part of the chapter is devoted to outlining committee activities and describing the types of file series which can facilitate information retrieval. Committee chief clerks and minority administrative clerks, together with designated individuals in each subcommittee office, should review the accompanying charts to determine which files series to create.

The final decision to set up files should be a joint decision of professional and administrative staff. Specific file series may be established to meet individual needs, but *all staff should have a basic understanding of what files exist and where they are located.* Remember, many committee legislative and investigative documents have long-term research value. Maintaining them in carefully designated file series contributes immensely towards their continued usefulness.

BACKGROUND AND EVOLUTION OF COMMITTEES

The Senate of the First Congress began its work on April 6, 1789 with only twelve members. Over the next three decades the body grew slowly, reaching thirty-six members in 1816. The Senate's small size facilitated informal discussion of legislative proposals and made unnecessary the creation of formal standing committees. Normally the full Senate would discuss a legislative matter until some consensus had been reached. At that point, the body would establish a temporary committee to draft a specific proposal that incorporated the points previously agreed upon. As soon as the committee completed its work, it ceased to exist. Occasionally select committees were given the authority to examine broad subject areas, but they too had limited life spans. Only three standing committees had been appointed before 1816, including Enrolled Bills (1789), Engrossed Bills (1806), and Contingent Expenses (1807). All dealt with "housekeeping" rather than legislative matters.

At the end of the War of 1812, the Senate began to consider establishing a system of standing committees to encourage senators to develop expertise in areas of particular interest and to promote stability and continuity in the legislative system. On December 5, 1816 Senator James Barbour of Virginia moved that the Senate create eleven standing committees. Five days later the Senate adopted Barbour's motion and created the following committees: Claims, Commerce and Manufactures, Finance, Foreign Relations, Judiciary, Military Affairs, Militia, Naval Affairs, Pensions, Post Office and Post Roads, and Public Lands.

In addition to regular legislative duties, the employment of standing committees permitted the Senate regularly to assign the task of long-term studies and investigations. As early as the 10th Congress (1807-1809) the Senate routinely had begun to refer nominations to the select committees. This function was transferred to the newly established standing committees.

The total number of standing committees within a Congress, their names, and respective jurisdictions have changed dramatically over the years. The number reached an all-time high of seventy-four in 1913. In 1921 the Senate consolidated its committee system into thirty-four separate panels and in 1946, through the Legislative Reorganization Act, the number of standing committees was reduced to fifteen. In response to continued growth of committees and especially subcommittees, the Temporary Select Committee to Study the Senate Committee System (Stevenson Committee), in 1976, recommended the merger of several committees. Currently there are sixteen standing committees, three select committees, one special committee, and four joint commit-

tees.[1] Approximately thirteen hundred individuals are employed by these committees whose staffs range in size from twenty to one hundred forty persons.

A proliferation of subcommittees and the resulting increase in schedule conflicts for members has kept alive the issue of committee reform. In its 1984 report, the Temporary Select Committee to Study the Senate Committee System (known as the Quayle Committee) described an ideal committee system in these terms—

> *The Senate Committee System should serve as a legislative filter and refiner. Bills should be referred to the committee of appropriate jurisdiction so that the committee members, a group of experts in their area, may carefully analyze, critique, and alter proposed legislation . . . . A bill emerging from a committee would be a refined product, technically sound, thoroughly understood by committee members and ready for consideration by the Senate.*[2]

If this vision of committee operations is to be sustained, staff must come to grips with the ongoing challenges of recordkeeping. Just as the proliferation of assignments and issues has impeded the effectiveness of committee operations, so has the resulting fragmentation of records and information weakened the daily usefulness and ultimate research value of committee files. A management solution cannot be successfully implemented until all staff recognize the value of committee records and strive to maintain them. In terms of time and effort records are expensive to compile and analyze. Intelligently managed, they can prove invaluable to future research. Effective records management is a major factor in improving staff efficiency.

ORGANIZATION AND STAFFING

Diversity of staff organization among standing and select committees is the rule rather than the exception. Likewise, there is little standardization of job titles and related duties, although almost all committees have staff directors and chief clerks who perform certain administrative functions. Just as titles vary, so do the duties associated with these titles. One chief counsel might oversee and coordinate the work of the committee whereas another chief counsel, besides coordinating committee work, will cover a legislative subject area or issue in depth.

Despite these variations, it is possible to describe two general organizational models under which most committees can be grouped and to point out related variations in recordkeeping.[3] Committee staff will need to consider their own committee organizational scheme when they design a records management plan. Specifically, they should—

- ☐ identify administrative units
- ☐ ascertain subject areas of responsibility
- ☐ determine information needs
- ☐ designate individuals within each unit to maintain both paper and electronic files

Centralized Staff—Committees organized in this manner will find "centralized" filing schemes most useful. Legislative and oversight files can be "centralized" physically or they can be maintained by individual staff, and "centralized" on paper. The object is to be able to inform staff where they may retrieve information, whether or not it is maintained in one central location. "Intellectual" centralization is achieved by creating a records management plan. The Senate Archivist is available to assist committees with designing such a plan.

Decentralized Staff—Decentrally organized committees include a small number of staff who work for the full committee, but most work for a particular subcommittee chairman.

Certain records such as full committee hearing and business meeting transcripts and official communications are best retained by the full committee. Extensive legislative and oversight files necessarily will be maintained within each subcommittee. With decentralized staffing, each subcommittee should create its own file plan. Subcommittee records managers should coordinate with the full committee to minimize duplication of recordkeeping. For example, the full committee may be designated as the office of record for all full committee hearing and business meeting transcripts thus freeing the subcommittees from maintaining extensive duplicate files.

MAJORITY AND MINORITY STAFF

The Legislative Reorganization Act of 1946 (79th Congress, P.L. 601) provided the basis for permanent professional committee staff positions. These positions were to be filled on the basis of competence, not party affiliation. The 1970 Legislative Reorganization Act (91st Congress, P.L. 91-51) included provisions permitting committee minority members, usually the ranking minority member, to appoint two professional staff members and one clerical staff member to the permanent staff of the committee.

In 1977, Senate Resolution 4, (95th Congress, adopted February 4, 1977; Senate Rule XXVII.3),

[1]Remarks of Senator Robert C. Byrd, "The Early History of Senate Committees," *Congressional Record,* 97th Congress, 1st Sess., July 31, 1981, S. 8915.

[2]Senate Report 98-254, p. 4.

[3]Paul S. Rundquist, "Committee Staff Organization and Management: Working Paper for Briefing Book on Senate Committees," Congressional Research Service, December 3, 1980, describes the three models in pages 13-21

augmented the minority staffing position by specifying that the committee staffs "should reflect the relative number of majority and minority members of the committees." A majority of the minority members of any committee may, by resolution, request that at least one-third of all personnel funds of the committee be allocated to the minority members. As a result, all committees, except the Select Committee on Ethics, which is nonpartisan, have established separate majority and minority staffs.

Just as the majority and minority are separate, so are most committee staff files separately maintained. Senate Rule XXVII.3 states that a majority of the minority members on a committee may request, by resolution, proportionate space, equipment, and facilities. Most minority staff have elected to do so. Because of this, *it is especially important for the majority and minority chief counsels and administrative clerks to devise procedures that ensure the preservation of both majority and minority files.* To preserve only the majority files is a violation of the Senate Rule which stipulates that "all committee . . . records . . . shall be the property of the Senate . . ." (Rule XXVI.10(a)). Moreover, to preserve only majority files is to preserve only half of a committee's historical record.

Recommendations for coordinating the disposition of majority and minority records include—

- ☐ Majority and minority administrative clerks may arrange to direct records retention and disposition within their respective offices.
- ☐ Accordingly each must bring to the attention of their respective staffs the records retention requirements specified in Senate rules and statute. Staff should be reminded again when they resign from the committee.
- ☐ The majority and minority administrative clerks should process transfers of noncurrent records directly through the Senate Archivist who will provide assistance with identifying permanent records.
- ☐ Both clerks should retain copies of their respective transfer documents and indexes. Copies of all transfer documents are retained by the Senate Archivist for Senate permanent files.

COMMITTEE FUNCTIONS

The following discussion of major committee activities is intended to help clarify which records and information are most important for staff to retain. It should provide a framework for chief clerks and administrative clerks to implement records management routines tailored to each committee's traditional style and needs.

First and foremost is the *legislative function.* Committee staff devote a major portion of their time to studying, analyzing, and reporting legislation referred to the committee for consideration. *A good records system must have as its primary goal the arrangement and filing of records associated with this activity.* Most offices set up legislative "case" files or "bill" files to document work on major bills. (For a full discussion, see the section on "Committee Activities And Their Records" at the end of this chapter.)

Committee influence extends beyond the initial control over the fate of legislative proposals because the committee of jurisdiction may dominate membership on the *conference committee.* Through this mechanism, a committee may regain in final legislation what it in its own chamber. Records documenting this aspect of committee work can include staff memoranda, briefing materials, and conference committee working papers. These should be carefully retained for inclusion with the committee's legislative "bill" files.

A second and equally important committee function is the performance of *oversight inquiries.* Senate Rule XXVI authorizes committees to review and study, on a continuing basis, the application, administration, and execution of those laws, or parts of laws, the subject matter of which is within the legislative jurisdiction of that committee. Under this rule, committees may carry out the required analysis, appraisal, and evaluation themselves, or by contract, or may require a government agency to do so and report to the Senate. Committees employ various techniques such as pilot testing, analysis of costs in comparison with benefits, or provision for evaluation after a defined period of time.

Committee oversight can be either legislative or investigative. The former involves examination of programs and agencies for the purpose of deciding whether new legislation is needed. The latter is more exploratory with a view toward uncovering incompetence and wrong-doing in the administration of public policy.[4] Staff involved in *legislative oversight* will accumulate quantities of correspondence with agency officials and reports on agency programs. A general subject file usually is the most convenient way to file this type of information.

Records pertaining to *investigatory oversight* are especially difficult and vital to manage as they may contain primary research data, subpoenaed documents, depositions, staff evaluations and summaries, together with recommendations for proposed solutions. Frequently these unique and permanently valuable records become buried amidst great quantities of reference material such as transcripts of court cases and journal articles. It is important to create one "case" file for all records pertaining to a single

[4]Quoted in Bill Brock, "Committees in the Senate," *The Annals of the American Academy of Political Science*, edited by Norman J. Ornstein. Philadelphia, 1974, p. 22

investigation, and for complex investigations it is helpful to devise a system that segregates the unique and valuable documentation reflecting staff analysis from the more general reference material. (For a suggested arrangement of a large investigation file, see Chapter III, Investigative Files.)

Besides legislative and oversight work, committees receive *presidential messages, petitions and memorials, and executive communications* pertaining to their respective jurisdictional subject areas and have a need to file this information carefully and accurately, usually by the number assigned to the communication. Consideration of presidential *nominations* and *treaties* are other important committee activities which frequently result in the collection of significant amounts of documentation that must be deliberately filed and preserved. All committees participate in the congressional *budget process* and usually create separate files to maintain these records.

Within a given committee, it is not unusual for all of these various activities to proceed simultaneously, resulting in significant quantities of information and records being collected and generated during the course of a single day. Chief clerks and records managers should be able to recognize such information as it is created or received and should have set up rational filing systems to accommodate all such documents and information that must be retained.

IMPLEMENTING RECORDS MANAGEMENT TECHNIQUES

The following steps are necessary to implement good committee records management procedures:

1) Circulate a reminder to all staff concerning Senate Rules XI and XVI(10) governing committee records. (May decide to use the Senate Legal Counsel memo reproduced in Appendix A, and sample memo to staff in Appendix D.)

2) Appoint one individual in each administrative unit (i.e. full and subcommittee, majority and minority offices) to be responsible for records management.

3) For current records that have not been appraised and scheduled, consult the Archivist to determine which records have long-term value and which have short-term value. Then:

- ☐ "Cut off" or break existing file series at the close of the current Congress or year, as appropriate.
- ☐ Identify "pending" files and retain in the office for use in the next session of Congress.
- ☐ File a cross-reference sheet for the withdrawn files in the appropriate place among inactive records. If the bill is renumbered or a subject entry is retitled, the new number or title should be listed on the cross-reference sheet.
- ☐ Store non-current files that will be referred to about twice a month in separate file drawers in the office. For those that are likely to have no immediate further use, contact the Senate Archivist at 224-3351, to arrange for appraisal and appropriate disposition.
- ☐ Review at regular intervals all permanent documents stored on magnetic media and transfer them to an archival storage medium (paper, microfilm, or 9-track magnetic tape). Label all disks and tapes, and print out indexes to archival tapes.

4) To set up file series for a new Congress:

- ☐ Consult with office staff and with the Archivist (224-3351), if restructuring is desired, to ascertain which files are most efficient and appropriate for the office to create and maintain. For ideas, review the charts in Chapter II.
- ☐ Decide where physically to locate each file series, either in a central location or at individual legislative or investigative staff desk areas. Label the file cabinet drawers, including the name of the series and the number of the Congress.
- ☐ Coordinate naming of drawers/series with the office automation systems administrator's guidelines for document naming and filing conventions.
- ☐ Require all records management staff with no prior records experience to review the detailed filing techniques outlined in Chapter VI. In addition, the Archivist, upon request, will conduct specially tailored records management seminars for committee administrative staff.

COMMITTEE ACTIVITIES AND THEIR RECORDS

The following charts detail activities common to most committees. They are arranged in seven functional categories including: review and reporting legislation, receiving official communications, performing oversight and investigations, consideration of nominations, consideration of treaties, the congressional budget process, and office management. A description of records resulting from each type of staff activity follows, together with suggestions for filing including when to establish separate file series.[5]

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[5] A file series is a group of file units or documents arranged in accordance with a filing system (chronological, alphabetical, numerical) or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form (such as magnetic tape, microfilm, etc.), or because of some other relationship arising out of their creation, receipt, or use. Examples of committee file series include bill files, investigative case files, nomination files, executive session transcripts, etc.

REVIEW AND REPORTING LEGISLATION

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Establishing Priorities	Minutes of business meetings, staff memoranda, committee authorization resolutions and hearing transcripts, correspondence with members	Set up a central file series for business meeting minutes and transcripts. Records relating to committee authorizations can be filed with office management records in a series for committee funds management. Correspondence with members may be filed in a chronological file series.
Reviewing Legislation	Bill as introduced, section-by-section analysis, correspondence with members, staff analytical memoranda, correspondence with agency officials and interested parties, survey sheets, consultant reports, CRS reports, clippings, press releases, companion House bill and report	Establish a separate legislative (bill file) series for records pertaining to work on legislation. (See definition of case file in glossary.) For omnibus bills, gather all individual bill files and create a separate omnibus bill series. High volume issue mail related to legislation should be filed separately from the bill file material.
Conducting Hearings	Correspondence with witnesses, staff memoranda, briefing materials, hearing transcripts, published hearing record, exhibits, follow-up correspondence, press releases, audio/video recordings	Records of hearings on legislation can be interfiled with the related bill file. A separate series for hearing transcripts should be established. File labeled audio/video tapes in a separate series.
Consideration By Members	Meeting agendas, substantive drafts of legislation and reports, minutes or summaries of mark-up meetings, staff memoranda, committee prints of legislation and reports, polling records, record of roll call vote sheets	Records relating to committee mark-up of legislation may be interfiled with the related bill file material. Business meeting minutes and transcripts should be filed in the central business meeting minutes/transcripts series.
Reporting Bills	Bill as reported, with or without amendments; committee report, including any supplemental, minority, or additional views; members' accompanying statements	Records documenting reporting a measure should become part of the appropriate bill file.
Conference Committee Work and Final Disposition	Senate and House passed versions of bill; conference report, minutes or memoranda; conference transcript if not printed or a side-by-side print of the legislation; the Public Law (Slip-Law); statement of the president upon signing or vetoing the bill; documentation of any subsequent override actions in either or both houses of Congress, LEGIS "all option" report for major bills	Records documenting conference committee actions and final disposition of a measure should become part of the appropriate bill file.

PERFORMING OVERSIGHT/INVESTIGATIONS

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Establishing Priorities/Decision to Investigate	Written and printed material prompting the investigation or oversight hearing, correspondence with members, staff internal memoranda, correspondence with interested parties, and minutes of business meetings	For general oversight of agency programs, establish a separate file series arranged by subject, such as names of agency departments, programs, and interest groups. This file may be centralized within an office or it may be centralized "intellectually" with parts being retained by individual staff. For major investigations, establish a separate investigative case file which may need to be indexed. Correspondence with members may be filed in chronological file series and with the investigative case file.
Conducting Research/ Analyzing Data	Correspondence requesting evidence and data, documents collected as evidence, questionnaires, surveys, depositions, consultant reports, CRS reports, reference material, subpoenaed documents, charts, tables, graphs, maps, photographs, audio/video tapes, information stored on electronic media, staff analytical memos	File into a general subject file or investigative case file as appropriate. Magnetic media should be stored separately according to recommendations in Chapter IV. A cross-reference sheet should be filed with corresponding paper records. File labeled audio/video tapes in separate series.
Conducting Hearings	Correspondence with witnesses, witness statements, briefing materials, lists of suggested questions, press releases, hearings transcripts, exhibits, follow-up questions, audio/video recordings	Records of hearings on general oversight or investigations can be interfiled with the appropriate investigative case file. A separate series for hearings transcripts should be established. File labeled audio/video tapes in separate series.
Reporting Results and/or Drafting New Legislation	Press releases, press conference statements, committee prints and reports, statements for the Record, substantive drafts of legislation	File into a general subject file or investigative case file as appropriate. Drafts of new legislation should be filed in the "bill" file.

CONSIDERATION OF NOMINATIONS

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Receipt of Nominations/ Conducting Research/Analyzing Data	Message from the president announcing the nomination, correspondence with agency officials and others requesting background information, nominee financial disclosure and background information, staff memos and reports concerning nominee	Establish a central file series for nominations, arranged alphabetically by name of nominee. Occasionally, if a nomination is particularly controversial, an in-depth investigation is conducted, resulting in the need to create a separate investigative case file. Routine lists of nominations and promotions can be filed chronologically.
Conducting Hearings	Correspondence with witnesses, witness statements, staff analytical memoranda, briefing materials, transcripts, published hearing record, exhibits, follow-up correspondence, press releases, audio/video recordings	File into the separate nominations file series or separate investigative case file, if volume warrants. File labeled audio/video tapes in a separate series.
Consideration By Members	Minutes or summaries of mark-up, polling records, record of vote, committee written report (if one is prepared), statements for Record, copy of the president's message of withdrawal if applicable, LEGIS "all option" report for major appointments	If the nomination is part of a major investigation, may file into the separate investigative case file. Business meeting minutes and transcripts should be filed in separate series.

CONSIDERATION OF TREATIES

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Receipt of Treaty Print/Conducting Research/Analyzing Data	Copy of president's letter transmitting the treaty to the Senate together with the Secretary of State's transmittal to the president, print of treaty, correspondence with the executive branch, staff analytical memoranda, background	Records relating to consideration of treaties may be filed in a central treaty file, although it is likely that some records documenting staff review and analysis will be retained by individual staff. Relevant files retained by staff may be incorporated with central treaty files when they are transferred to archival storage, or they may be maintained as a separate file series, if volume warrants.
Conducting Hearings	Correspondence with witnesses, witness statements, staff memoranda, transcripts, published hearing record, exhibits, follow-up correspondence, press releases, audio/video tapes	Records relating to hearings may be filed in a separate series or interfiled with the appropriate treaty file. A separate hearing transcripts series should be established. Committees other than Foreign Relations sometimes hold hearings on a particular treaty. These records may be filed in a discrete series or may be part of a series of hearing records. File labeled audio/video tapes in a separate file series.
Consideration By Members	Minutes or summaries of mark-up, transcripts of committee business meetings, record of vote, committee prints	File record of votes and committee prints in central "treaty file." Minutes, summaries, and transcripts of business meetings should be filed in a separate file series.
Reporting	Resolution of ratification and executive report, statements for Record, LEGIS "all option" report	File in central "treaty file."
Withdrawal of Treaty	Presidential message withdrawing treaty, executive resolution directing return of treaty to president	File in central "treaty file."

RECEIPT OF OFFICIAL COMMUNICATIONS

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Reviewing Communications	Presidential messages, executive communications (documents signed by the president, agency, department head or organization filed as a report to the Senate as directed by law or otherwise), petitions (documents asking the government for a redress of grievances), and memorials (documents memorializing the government to do or not to do something), staff memoranda, follow-up correspondence	Establish a central file at the full committee level, arranged by PM, POM, or EC number.
Consideration By Members	Correspondence, minutes, summaries, or transcripts of business meetings, drafts of resolutions or bills as appropriate	Records relating to committee business meetings may be interfiled with the related bill or resolution file. A separate series for business meeting minutes and transcripts should be established. Records pertaining to drafting of bills should become part of the appropriate bill file.

CONGRESSIONAL BUDGET PROCESS

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Receipt of Budget	President's budget, staff analytical memoranda, Congressional Budget Office reports of estimates of outlays needed for existing programs	Establish a separate file series for budget resolution documents.
Conducting Hearings	Hearing transcripts; correspondence with witnesses; staff analytical memoranda concerning economic conditions and revenue alternatives, program options, and budget priorities; briefing materials	Establish a separate file series for hearing records.
Authorizing Committees Submission of Views and Estimates Reports to Budget Committee	Committee reports summarizing plans for legislation for the coming fiscal year and presenting their views and estimates of new budget authority and outlays to be authorized in legislation under their jurisdiction, staff analytical memoranda, reference materials, and Budget Committee memoranda concerning legislation that infringes technically or violates the budget process	Establish a separate centralized file series for committee views and estimates reports received by the Budget Committee. Authorizing committees may file records pertaining to legislation in a legislative "bill" file.
Receipt of Congressional Budget Office Annual Report	CBO report analyzing the president's budget request, discussing budgetary options, and the economic outlook	File in separate file series for budget resolution documents.
Committee Members Consideration of Budget Resolution	Minutes, summaries, or transcripts of committee business meetings, "mark-up" drafts of the resolution retained by staff analysts, drafts of the accompanying report and final version to be reported, briefing materials	Records pertaining to committee mark-up may be retained by individual analysts. These drafts should be collected and interfiled with the main budget resolution file series when the records are compiled for archival purposes. Transcripts and minutes of committee business meetings should be filed in a separate file series.
Budget Committee Report on the Resolution	Resolution as reported, committee accompanying report, members' accompanying statements	File in separate file series for budget resolution documents.
Conference Committee Actions	Senate and House-passed versions of the resolution, conference report, minutes or summaries memoranda	File in separate file series for budget resolution documents.
Allocation of Budget Spending Levels to Subcommittees	Staff memoranda	File with appropriate series of bill file records.

CONGRESSIONAL BUDGET PROCESS—Continued

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Committees Reporting of Specific Spending/Revenue Bills, and Reconciliation Legislation	Documents include all those listed under Review and Reporting Legislation (Section I)	File according to suggestions in Section I, Review and Reporting Legislation.
Budget Committee Review of Congressional Actions Affecting Budget	CBO "scorekeeping" reports, status reports on how congressional actions compare with the budget aggregates and functional targets; committee waivers and supporting documents; Budget Committee correspondence and staff memoranda, correspondence with Appropriations subcommittee staff	If the volume warrants, may set up separate files for CBO reports and committee waivers, otherwise combine and file in committee tracking file. Staff memoranda and correspondence with Appropriations staff and members may be retained with the separate series for budget resolution documents or in the tracking file.
Budget Committee Review of Presidential Impoundments and Rescissions	Presidential messages notifying Congress of proposed rescissions or deferrals, GAO communications, OMB reports, impoundment resolution, staff analytical memoranda	Establish a separate file series for documents pertaining to rescissions deferrals.

OFFICE MANAGEMENT

ACTIVITIES TO DOCUMENT	TYPES OF RECORDS	FILING
Committee Funds Management	Authorization resolution, budget, and budget back-up material, questionnaire, payroll records, vouchers and invoices, ledgers	Create a separate series for financial records. Arrange by type of record (i.e. vouchers, authorizations, etc.).
Personnel	Resumes, recommendations, commendations, leave records, security clearances, appointment and resignation letters	Create a separate series for personnel records. File folders may be arranged alphabetically by name of staff member.
Office Procedures	Memos to staff, staff progress reports, file manual, documentation for office automation files, inventories of files stored on magnetic media, inventories of records in storage, staff organization chart or memo	Create a separate series for records documenting office procedures. Arrange by type of record.
Office Space, Equipment, and Furniture	Room use schedules, catering, inventories	Create a separate series and arrange by type of record.
Printing and Binding of Hearings and Reports	Requisitions, GPO delivery receipts, reporting company forms, master uncorrected and corrected transcripts, transcripts corrected by individual participants, and printed hearings and reports	Create a separate series and arrange by type of record.
Committee Reports	Legislative Activities Report (required by Standing Rule 26:8(b)), Committee Calendar	Create a separate series.

CHAPTER III: RECORDS DISPOSITION SCHEDULE

This chapter consists of comprehensive listings of file series maintained by Senate committees. The purpose is to provide committee staff with an in-depth description of the contents, arrangement, retention, and recommended disposition of each series type. The descriptions also serve to further illustrate the definition of committee records.

No one committee will have all of the series listed, and some offices will establish variants. There is, however, enough information provided in the contents and arrangement section to allow staff to identify the material under consideration, and to ascertain whether a particular series is likely to possess research value. For each series, retention is indicated together with general recommendations for disposition. Certain series require additional appraisal by the Archivist, and some may require sampling by the Archivist.

When questions arise concerning the appraisal and disposition of committee records, staff are encouraged to call the Archivist (224-3351) for assistance, especially for records maintained on computer systems. In any case, *the Archivist must be contacted to initiate the disposition process.* For more detailed instructions, see Chapter VIII, "Records Transfer Procedures."

The schedules are intended to provide committee staff with an indication of which records have potential historical value. They are used primarily by the Archivist to standardize retention procedures on a Senate-wide basis. Consequently, all committees will maintain at least some of the series listed. The schedules may also be used by staff to set up file series that meet the storage and retrieval needs of the office, but should be read in conjunction with the information in Chapter II, which presents the rationale for setting up particular types of individual files.

The series are listed according to committee activity: review and reporting legislation, performing oversight/conducting investigations, consideration of nominations, consideration of treaties, receipt of official communications, congressional budget process, and committee management.

COMMITTEE ACTIVITY: REVIEW AND REPORTING LEGISLATION

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Legislataive Case Files, "Bill Files"	File series maintained within the offices of professional staff containing all records documenting staff review of and work on legislation either referred to or originated within the committee.		
	a) *For minor bills*, standard arrangement is by bill number or alphabetically by bill title. (Folder titles should contain both the bill number and title.)	Permanent—those bills reviewed and analyzed by staff	At the close of each Congress, transfer non-current files to separate storage, either within the office or to storage space. When two congresses old, or earlier, if files are no longer needed, transfer to Senate's holdings at the National Archives.
		Temporary—those bills referred to the committee but receiving no action or analysis	
	b) *For major or omnibus bills* filling one or more file drawers, it is helpful to break the material down into separate folder title categories that document the progress of the bill(s) within the committee or subcommittee. The following arrangement has proved effective. (Records managers should consider preparing pre-labeled folders for the convenience of professional staff who maintain legislative case files at their desks.)		
	1. Bill as introduced (one copy).	Permanent	For permanent sections, at the close of each Congress, or when the case file is no longer needed for current business (i.e. the legislation is completed or dies), transfer to the Archives.
	2. Section-by-section analysis.	Permanent	

COMMITTEE ACTIVITY: REVIEW AND REPORTING LEGISLATION—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Legislative Case Files, "Bill Files" (continued)	3. Committee prints (one copy of each, marked to show the sequence of development in the proposal).	Permanent	
	4. Press releases (one copy).	Permanent	
	5. Executive branch referral correspondence.	Permanent	
	6. Senate leadership and staff correspondence.	Permanent	
	7. Minutes/memos of meetings, polling records.	Permanent	
	8. Correspondence from interested parties, excluding large volume pressure mail which should be filed separately.	Permanent	
	9. Preliminary drafts of legislation (substantive or numbered drafts as opposed to drafts with minor editorial corrections).	Permanent	
	10. Hearings transcripts and statements (if not filed in a separate series). **NOTE**—File closed hearing transcripts separately for administrative security.	Permanent—unpublished transcripts	The published transcript and statements constitute the permanent record.
		Permanent—published hearing	
		Temporary—original transcript published hearing	Retain for four congresses, then dispose.
	11. Special support or consultant studies.	Permanent	
	12. Reported bill, committee report, and Senate-passed legislation.	Permanent	
	13. Companion House bill, report and House-passed legislation.	Permanent	
	14. Conference report, minutes, transcripts, side-by-side print, memoranda and briefing materials.	Permanent	
	15. Cross-reference sheets to any reports consulted but not included in the hearing record.	Permanent	

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Legislative Case Files, "Bill Files" (continued)	16. President's statement upon signing the bill or vetoing it together with documentation of any override actions.	Permanent	
	17. Public Law (Slip Law).	Permanent	
	18. Legis "All Option" Report, for Major or Omnibus bills.	Permanent	
	19. Background material including articles, clippings, court transcripts, and library material.	Permanent	Request review by the Archivist for the purpose of weeding non-essential material.
	20. Transitory staff working papers that consist of such materials as "tickler" memos and rough research notes summarized elsewhere.	Temporary	Separate and destroy, before transferring permanent sections to the Archives.
Bills Referred to the Committee	A file series containing copies of each bill referred to the committee, arranged numerically by bill number. May also contain committee reports, but does not include correspondence or other supporting documentation. **NOTE**—The Senate Library retains permanently one copy of each version of a bill.	Temporary	Retain for as long as needed for administrative purposes, then destroy.
Closed Hearing Transcripts	Formal hearing transcriptions filed separately for purposes of administrative security and disposition, usually filed chronologically.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.
Open Hearing Transcripts	Formal hearing transcriptions that usually are published. Arranged chronologically.	Temporary—but further appraisal is recommended Permanent—if not published	For precise disposition, see under Committee Management section, "Hearing Transcripts Publications File."
Correspondence With Members	Correspondence, memoranda, briefing memos to and from committee and subcommittee staff, including memos about legislation which are initialed by the chairman or subcommittee chairman or ranking minority members and are returned to the staff member. Standard file arrangement is alphabetical by name of member, thereunder chronologically.	Permanent	At the close of each Congress, or when the file is no longer needed for current business, transfer to the Archives.

COMMITTEE ACTIVITY: REVIEW AND REPORTING LEGISLATION—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Briefing Books	Documents gathered in ring binders for use by members at hearings or on the floor, (one copy, preferably the book containing the member's annotations).	Permanent	At the close of each Congress, or when the file is no longer needed for current business, transfer to the Archives.
Audio/Video Recordings	Recordings either produced or collected by committee staff. Records could consist of depositions, evidence, or a record of committee hearings. These should be adequately labeled—date, subject, individuals.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.

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COMMITTEE ACTIVITY: PERFORMING OVERSIGHT/CONDUCTING INVESTIGATIONS

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
General Correspondence "Subject File"	Correspondence, memos, and reports from agency officials, state officials and other interested parties (excluding high-volume pressure mail which should be filed separately) concerning subject area issues and agency programs within the committee's jurisdiction. This file series is arranged by subject and may be set up as a central file for each office, or individual staff may maintain separate portions of the file based on their area of expertise. Records managers should type a list of subject titles used for the central file, or should compile a composite list of subject titles maintained by the professional staff. The lists will facilitate office filing, coordination with office automation systems, and records disposition.	Permanent	Break the file at the close of each Congress. When no longer needed for current business, transfer to the Senate's holdings at the National Archives together with the subject listing.
Investigative Case Files	File series maintained within the offices of investigative staff containing records documenting all aspects of an investigation. Because these files can become quite bulky and complex, it is helpful to break the file into separate folder title categories that document the progress or stages of the investigation. For major investigations the following arrangement is recommended—		
	1. Written and printed material prompting the investigation.	Permanent	For permanent sections, when the investigation is closed and the series is no longer needed for current business, transfer to the Archives.
	2. Initiating document, such as a letter from a member or outside party, a memo prepared by staff, or an agency or commission report.	Permanent	
	3. Press releases (one copy).	Permanent	

COMMITTEE ACTIVITY: PERFORMING OVERSIGHT/CONDUCTING INVESTIGATIONS—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Investigative Case Files (continued)	4. Executive branch referral correspondence.	Permanent	
	5. Senate leadership and staff correspondence.	Permanent	
	6. Committee or subcommittee minutes or memos of meetings.	Permanent	
	7. Correspondence from the committee or subcommittee requesting information and responses.	Permanent	
	8. Special support studies.	Permanent	
	9. Committee prints (one copy).	Permanent	
	10. Hearing transcript and statements (if not filed in a separate series); transcripts of field hearings; depositions. **NOTE**—File "closed" hearing records separately for administrative security.	Permanent	
	11. Committee reports (one copy).	Permanent	
	12. Subpoenaed documents.	Possibly permanent—archivist should appraise separately	
	13. Exhibits, including labeled photographs, tape recordings, charts, and computer data files.	Permanent	
	14. Cross-reference sheets to material consulted but not included in this case file.	Permanent	
	15. Background material including articles, clippings, court transcripts, and library material.	Permanent	Request review by the Archivist for the purpose of weeding non-essential material.
	16. Transitory staff working papers that consist of such materials as "tickler" memos and rough research notes summarized elsewhere.	Temporary	Separate and destroy before transferring permanent sections to the Archives.
Briefing Books	Documents gathered in ring binders for use by members at hearings (one copy, preferably the book containing the member's annotations).	Permanent	At the close of each Congress, or when no longer needed for administrative purposes, transfer to the Archives.

COMMITTEE ACTIVITY: PERFORMING OVERSIGHT/CONDUCTING INVESTIGATIONS—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Audio/Video Recordings	Recordings either produced or collected by committee staff. Records could consist of depositions, evidence, or a record of committee hearings. These should be adequately labeled—date, subject, individuals.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.
Precedents File	A separate file series consisting of documents or cross-references to documents relating to committee precedents or precedents and procedures within subject areas of the committee's jurisdiction. May include policy decisions by committee members, legal opinions, statements, and resolutions that document prior decisions and may serve as justification for future actions. Arrangement usually is by subject.	Permanent	Retain in office for as long as needed for administrative purposes, then transfer to the Archives.
Joint Congressional, Agency, Interagency, and Non-Federal Committee/ Commission Files	Minutes, agenda, proposals submitted for review, and final recommendations of ad hoc committees and commissions, formally established councils, conferences and task forces on which committee and subcommittee members or staff hold membership and served as the group's secretariat. Usually arranged by subject.	Possibly permanent	At the close of the Congress in which the group completed its work, request appraisal assistance from the Archivist. Permanent records will be transferred to the Archives.
High-Volume "Pressure" Mail	Unsolicited correspondence and mass mailings from constituents and pressure groups referred to committee or subcommittee staff for reply by members' offices because the subject falls within the jurisdiction of the committee. Such correspondence generally does not directly pertain to the specific legislative or investigative work of the committee in that it does not provide staff with information essential to their work. Arrangement of incoming letters can be numerical by CMS or automated system number, chronological, or alphabetical.	Permanent—sample only	At the close of each Congress, request the Archivist to appraise and sample the records for preservation in the Archives. Dispose of remaining letters

COMMITTEE ACTIVITY: PERFORMING OVERSIGHT/CONDUCTING INVESTIGATIONS—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Casework Files	Requests for assistance from citizens, either by letter or phone message including interim correspondence with the individual and the agency, and a final letter to the citizen. **NOTE**—It is important that any official documents sent in by the citizen be returned as soon as they are received and that only copies be retained in the office. Arrangement can be alphabetical by name of correspondent or numerically by Casework Management System number.	Temporary—routine cases	At the close of each Congress, remove closed cases from active file. (Off-site storage is available through the Archivist, 224-3351.) Destroy five years following the year in which the case was closed.
		Permanent—cases bearing on agency oversight and cases of special interest to the committee, because they relate to an investigation	At the close of each Congress, or when no longer needed for legislative or oversight purposes, transfer to the Archives.
CMS Master Library/ Automated Indexes	A complete set of standard replies used in connection with the Correspondence Management System (CMS), indexes to individual series of textual records and reports, as specified in Chapter IV, The Management and Disposition of Automated Records. Indexes may be in name, date, topic, or document number order.	Permanent	At the close of each Congress, obtain a complete set of indexes and reports (printouts) as specified in Chapter V, and transfer with corresponding paper files to the Archives.

COMMITTEE ACTIVITY: PERFORMING OVERSIGHT/CONDUCTING INVESTIGATIONS—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Computer Data Files and Data Bases	Machine-readable data files including surveys or statistical analysis files and data bases created in connection with performing oversight or conducting an investigation. Although committee reports can summarize the data, such data in machine-readable form should be appraised for possible permanent retention. The data files can relate to a variety of subjects including agency programs, consumer affairs, economic profiles, business conditions, industrial concerns, or a particular legislative issue.	Undetermined—must be appraised	Committees are encouraged to identify such files to the Senate Archivist for individual appraisal.

COMMITTEE ACTIVITY: CONSIDERATION OF NOMINATIONS

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Nominations "Case" Files	File series usually maintained either in the full committee, sometimes in the subcommittee, documenting committee review and assessment of presidential nominees. Case files may include a copy of the announcement of the nomination, correspondence with agency officials and others requesting background information, and staff analytical memos. Arrangement can be by type of appointment or agency, and thereunder alphabetically by name of individual.	Permanent	At the close of each Congress, when the file series is no longer needed for current business, transfer to the Archives.
Nominations Investigative Case File	Records accumulated and maintained as a result of a controversial or in-depth review of a nomination. It is helpful to break such a file down into separate folder title categories that document the progress of the investigation.		
	1. Copy of the president's message announcing the nomination.	Permanent	For permanent sections—at the close of each Congress, or when the file is no longer needed for current business, transfer to the Archives.
	2. Correspondence with agency officials and others requesting background information.	Permanent	
	3. Nominee's financial disclosure sheets, biographical data.	Permanent	
	4. Staff analytical memos, correspondence with members, briefing materials.	Permanent	
	5. Correspondence with witnesses, witness statements, follow-up correspondence.	Permanent	

COMMITTEE ACTIVITY: CONSIDERATION OF NOMINATIONS--Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Nominations Investigative Case File (continued)	6. Hearing transcripts and statements—if not filed in a separate series—including "revised" versions if nomination is controversial, or corrections are substantial.	Permanent	
	7. Correspondence from interested parties, excluding high-volume pressure mail which should be filed separately.	Permanent	
	8. Special investigative reports.	Permanent	
	9. Minutes or summaries of mark-up, polling records (if not filed in a separate series).	Permanent	
	10. Committee report, if one is prepared	Permanent	
	11. Legis "all option" report, for major appointments	Permanent	
	12. Copy of the president's message of withdrawal, if nomination is withdrawn.	Permanent	
	13. Transitory staff working papers that consist of such materials as "tickler" memos and rough research notes summarized elsewhere.	Temporary—separate and dispose before transferring permanent records to the Archives	
	14. Business meeting minutes.	Permanent	
List of Nominations and Promotions	List of foreign service and military service nominations and promotions, filed chronologically	Temporary	Retain for two congresses then destroy. Permanent record of nominations and promotions is retained in the Senate Executive Journal.
Audio/Video Recordings	Recordings either produced or collected by committee staff. Records could consist of depositions, evidence, or a record of adequately labeled—date, subject, individuals.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.

COMMITTEE ACTIVITY: CONSIDERATION OF TREATIES

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Treaty Files	Records relating to the consideration, study, and review of treaties, conventions, and agreements referred to the Senate Committee on Foreign Relations and occasionally, other standing committees that have jurisdictional interest. Standard arrangement of treaty files is numerically by Treaty Document Number, consisting of number of Congress and treaty number assigned in sequence. Contents may include:		
	1. President's letter transmitting treaty.	Permanent	For permanent sections, at the close of each Congress, or when the file series is no longer needed for current business, transfer to the Archives.
	2. Printed treaty report.	Permanent	
	3. Correspondence with agency officials and other interested parties.	Permanent	
	4. Staff analytical memos.	Permanent	
	5. Hearing transcripts and statements (if not filed in a separate series).	Permanent	
	6. Exhibits (if not in the published record).	Permanent	
	7. Press releases and statements.	Permanent	
	8. Witness follow-up correspondence.	Permanent	
	9. Minutes or summaries of markups (if not filed in a separate series).	Permanent	
	10. Polling records, record of vote.	Permanent	
	11. Resolution of ratification and executive report.	Permanent	
	12. Treaty amendments, understandings, reservations, or declarations.	Permanent	
	13. Legis "all option" report.	Permanent	

COMMITTEE ACTIVITY: CONSIDERATION OF TREATIES—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Treaty Files (continued)	14. Presidential message withdrawing treaty (if withdrawn) or copy of executive resolution directing return of treaty to president.	Permanent	
	15. Transitory staff working papers that consist of such material as "tickler" memos and rough research notes summarized elsewhere	Temporary	Separate and dispose before transferring permanent records to the Archives.
Closed Hearing Transcripts	Formal hearing transcripts filed separately for purposes of administrative security and disposition, usually filed chronologically	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.
Open Hearing Transcripts	Formal hearing transcripts that are published. Arranged chronologically	Temporary—but further appraisal is recommended Permanent—if not published	For precise disposition, see under Committee Management Section, "Hearing Transcripts Publications File."

COMMITTEE ACTIVITY: RECEIPT OF OFFICIAL COMMUNICATIONS

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Presidential Messages	Documents brought to the chamber and announced to the Senate by a messenger from the White House. They are numbered sequentially for a Congress, assigned a prefix "PM," and referred to the appropriate committee. Arranged numerically by "PM" number.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.
Executive Communications	Documents signed by the president or agency head which are filed or submitted as a report to the Senate as directed by law or otherwise. They are numbered sequentially for a Congress, assigned a prefix "EC," and referred to the appropriate committee. Arrangement is numerically by "EC" number.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.
Petitions/ Memorials	Petitions are documents asking the government for a redress of grievances. Memorials are documents memorializing the government to do or not do something. They are numbered sequentially for a Congress, assigned a prefix "POM," and referred to the appropriate committee. Arrangement is numerically by "POM" number.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.
Reports Required By Law	Reports submitted to the Senate in compliance with legislative reporting requirements. Can be filed in a general subject file, or in a separate series, for example a separate series for GAO reports.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives. For bulky routine reports, ask Archivist to appraise.

COMMITTEE ACTIVITY: CONGRESSIONAL BUDGET PROCESS

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Budget Resolution Case Files	Records retained by the Budget Committee and authorizing committees documenting work on the annual congressional budget resolution including a copy of the president's budget, staff analytical memos, CBO reports, briefing materials, committee minutes or transcripts or mark-up (if not filed in a separate series), substantive drafts and reported version of the resolution and accompanying report, Senate and House-passed versions and final version. Typical arrangement is by step in the budget resolution process.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives (retain at least two prior years for current use).
Budget Committee Hearings Files	Records resulting from annual hearings including transcripts, correspondence with agency officials, briefing materials and staff analytical memos.	Permanent	For precise disposition, see under Committee Management section of this chapter "Hearing Transcripts Publications File."
Views and Estimates Reports	Reports filed with the Budget Committee summarizing plans for legislation for the coming fiscal year and presenting views and estimates on new budget authority, staff analytical memos, and correspondence concerning legislation that infringes technically or violates the budget process. Arrangement can be alphabetical by committee.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.
Congressional Budget Tracking File	CBO scorekeeping reports, status reports on how congressional actions compare with budget aggregates and functional targets, committee waivers and supporting documents, related correspondence. Arranged by functional area or committee.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives. Additional appraisal by the Archivist is recommended.
Impoundments and Rescissions	Presidential messages notifying Congress of proposed rescissions or deferrals, GAO communications, staff analytical memos. Arrangement can be chronological by president's message.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.

COMMITTEE ACTIVITY: CONGRESSIONAL BUDGET PROCESS—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
General Correspondence or Subject File	Correspondence, memos, reports concerning budget proposals, agency financial assistance programs, changes in the tax law or regulations, the budget process in general and appropriations issues. Arranged alphabetically by subject.	Permanent	At the close of each Congress, or when no longer needed for current business, transfer to the Archives.

COMMITTEE ACTIVITY: COMMITTEE MANAGEMENT

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
COMMITTEE OPERATIONS AND PROCEDURES			
Committee Reports	Legislative activities report, required by Standing Rule 26:8(b); Committee Calendar	Permanent	At the end of each Congress, send one copy of each to the Archives.
Administrative Memos	a) Memos to committee staff retained by chief counsel, staff director, or chief clerk, detailing administrative procedures within the committee.	Permanent	When superseded, transfer to the Archives.
	b) Memos from staff to members, or memos from members, particularly those with annotations by members.	Permanent	Retain as long as needed for administrative purposes, then transfer to the Archives.
Chronological File of Outgoing Correspondence	Comprehensive file of outgoing correspondence and memos pertaining to legislation and issues, usually retained centrally within each administrative unit. Excluded are form paragraph responses to high-volume pressure mail. Arranged alphabetically by name of staff or member, thereunder chronologically.	Permanent	At the close of each Congress, or when the file is no longer needed for administrative purposes, transfer to the Archives.
Polling Records	Usually form letters, retained by full committee, sent to each member to obtain his or her "consent to poll" and vote on whether or not to report a bill from the committee.	Permanent	At the close of each Congress, or when the file is no longer needed for administrative purposes, transfer to the Archives.
Follow-up, Suspense, or "Tickler" File	Documents filed in a separate file as a reminder that an action is required on a given date, or that a reply is expected, and if not received, should be traced. Chronological arrangement.	Temporary	Dispose when no longer needed for administrative purposes, when action is accomplished or resolved
Office File Manual or Subject File Outlines	Instructions for filing, documentation for OA systems, lists of files in storage in Archives.	Permanent	Retain list of stored files in office. Transfer superseded manuals and subject listings to the archives.

COMMITTEE ACTIVITY: COMMITTEE MANAGEMENT—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Transitory Files	Papers of short-term interest which have no documentary or evidential value. Examples include requests for general information or publications. Such material requires no administrative action, no policy decision, and no special research for reply. File separately from permanent records either in a separate file series or separate file folders within a permanent series.	Temporary	Destroy when three months old or when no longer needed for administrative purposes, whichever is sooner.
Records Created and Stored on Magnetic Media	Includes centralized and decentralized systems containing official and permanent records, and managed by a committee systems administrator. See Chapter V, The Management and Disposition of Automated Records for discussion.	Undetermined—appraisal necessary	At the end of each Congress, request appraisal assistance from the Archivist and transfer permanent records to an archival storage medium.
Library of Congress Loans	Office can periodically request a printout listing books borrowed from the Library. It is advisable to let this slide as offices can be billed for non-returned books.	Temporary	Retain printout until the list is cleared, then dispose.
COMMITTEE PUBLICATIONS			
Hearing Transcripts and Reports Publications File	Uncorrected transcript, corrected transcript (by individual members and witnesses), master revised transcript (containing all corrections), published volume. Arranged chronologically. **NOTE**—Copies of published hearings and reports are retained permanently in the Senate Library and therefore do not need to be retained permanently within each committee's publications files.	Temporary	Retain for four congresses, then dispose.
Library of Bound Volumes of Committee Publications	Reports, bills, and committee prints bound for committee use. **NOTE**—Additional copies may be ordered for individual committee members' collections of personal papers.	Permanent—in committee	Retain in committee. If you wish to dispose, consult Archivist.
Printing and Binding	Requisitions, GPO delivery receipts, reporting company forms.	Temporary	Retain for two congresses, then dispose.
Reference Library	Journals, magazines, books, directories, technical reports, and government publications.	Temporary	May consult Archivist to determine appropriate disposition.

COMMITTEE ACTIVITY: COMMITTEE MANAGEMENT—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
COMMITTEE FUNDS	Includes all material pertaining to committee budget and the acquisition, use, and accounting of funds. The Disbursing Office publishes all vouchers in the semi-annual report of the Secretary. Backup materials are not kept by Disbursing, and therefore should be retained in the committee for proof of expenditures until the vouchers themselves are audited and destroyed. The vouchers are destroyed when they are twelve years old.		
Payroll/Salaries	Records documenting payroll expenditures for each fiscal year including Disbursing Office monthly reports of annual salaries, breakdown of allowance and expenditures for current month and projections for the next two months.	Temporary	Destroy when no longer of administrative use, or when two congresses old.
Accounts	Records documenting by calendar year expenditures for equipment, books, photo supplies, telephone, etc. including ledgers, journals, and an office budget.	Temporary	Retain current and previous three calendar years in office. Destroy twelve years after the calendar year in which the account was paid.
Vouchers	Vouchers and accompanying documentation such as invoices, bills, statements, receipts, or other evidence of expense incurred.	Temporary	Retain current and previous three calendar years in office. Destroy twelve years after the calendar year in which the account was paid.
Travel	All records pertaining to travel, such as hotel reservations, copies of itineraries, requests for reimbursement, per diem, vouchers, and incidental expenses. Original itineraries should be retained in permanent legislative or investigative files.	Temporary	Retain current and previous three years in office. Destroy twelve years after the calendar year in which the account was paid.
PERSONNEL			
List of Current and Former Staff Members	Lists should include dates of employment, titles, area of expertise, office telephone number, and room number. The list should be maintained by the chief clerk.	Permanent	Retain until superseded, then transfer to the Senate's Archives.

COMMITTEE ACTIVITY: COMMITTEE MANAGEMENT—Continued

FILE SERIES	CONTENTS AND ARRANGEMENT	RETENTION	DISPOSITION
Staff Personnel Folders	Individual folders filed alphabetically including resumes, recommendations, performance appraisals, letters of resignation, financial disclosure statements, job descriptions, personnel actions, and awards.	Undetermined	Retain in office while current, then ask Archivist to appraise.
Fellows and Interns	Records pertaining to the employment or detail of interns and fellows.	Temporary	Destroy when no longer of administrative use.
Job Applications	Applications for positions on the committee staff.	Temporary	Retain for current Congress. Destroy when two congresses old.
SECURITY CLEARANCES			
Policy Memos	Procedures for staff personnel.	Temporary	Retain in office until superseded, then dispose.
Document Control System	Instructions for handling security classified records or private restricted records, and record control register.	Temporary	Retain in office until superseded, then ask Archivist to appraise.
OFFICE SPACE, EQUIPMENT, FURNITURE, AND PARKING	a) Records documenting office space assignment, catering, and room reservations.	Temporary	Destroy when no longer of administrative use.
	b) Inventories of equipment and furniture, available from the Sergeant at Arms. Inventories should be kept for equipment assigned outside the office.	Temporary	Retain in office until superseded and cleared.
	c) Parking space assignment records.	Temporary	Retain until superseded, then dispose.

CHAPTER IV: THE MANAGEMENT AND DISPOSITION OF AUTOMATED RECORDS

INTRODUCTION

Automated records represent an increasingly important part of the materials created and maintained by Senate committees. These records, stored on magnetic media, require access to a computer for decoding, processing, and printing or viewing on a screen. Recently, most committees have evolved from use of one or two centralized systems to a combination of centralized and decentralized systems to process office work. As committees strive to reduce the amounts of paper that they must sort and file, they have expanded their use of automated systems to include storage of permanently valuable records on disks and magnetic tapes.

Because electronic records are stored in a form that is easy to modify and update, they sometimes are mistakenly considered to have only temporary value. But, just as committees routinely maintain and preserve permanently valuable paper documents, so they need to preserve permanently valuable documentation created and stored on electronic media.[1] This chapter covers the management and disposition of automated records, and the documentation required to maintain them.

SENATE RULES AND AUTOMATED RECORDS

Specific language in the two standing rules governing committee records has special implications for the management of automated records. Senate Rule XXVI(10)(a), provides that committee records "shall be the *property of the Senate* and all members of the committee and the Senate shall have *access to such records*" (emphasis added). Like other types of records, committee documents stored on magnetic media are the property of the Senate and, just like paper records, should not be destroyed. In fact, because such documents are easily modified and updated, they must be administered more carefully than paper documents.

In addition, electronic records must be and remain *accessible.* In order to remain accessible beyond the tenure of individual committee staff, electronic records must meet certain minimum filing and indexing standards. Documents should not be named idiosyncratically. Instead, the titles should contain certain basic information (such as date, subject, author, addressee, office of origin, and bill number) that is reflected in file listings produced by the system.

As with paper records, it is the responsibility of each committee to design and implement document naming, filing, and retention procedures that will facilitate the preservation of permanent electronic records and provide for future access. Specific management guidelines are included in the following sections of this chapter.

Senate Rule XI(2) states that "The Secretary of the Senate shall obtain at the close of each Congress all the *noncurrent records* of the Senate and of each Senate committee and transfer them to the National Archives for *preservation* . . . ." (emphasis added). *Records stored on disks and diskettes cannot be transferred and preserved at the National Archives because their use may be dependent on the availability of particular hardware or software*[2] They must be transferred, preferably at regular intervals, to an archival storage medium (paper, microfilm, or 9-track tape) that meets certain data transportability specifications.[3] Each committee must decide in which format its electronic records will be preserved and institute conversion procedures that will accomplish the task. Consultation with the Senate Archivist is recommended.

OBJECTIVES

Automation poses a threat to documenting the legislative and oversight work of committees. This is most likely to occur in offices that have not developed adequate records management procedures for

[1]For discussion see Chapter I, Committee Records: A Definition.

[2]NARA Bulletin 85-2, Attachment A, "Electronic Recordkeeping Guidelines," page 4.

[3]See 36 CFR 1228.188, Appendix E.

retaining permanently valuable documents created on their decentralized systems. In a "paper-based" office, the tendency is to save and file. By contrast, where office automation is dominant, users must make a *conscious decision to save text.*

Committee staff, for example, traditionally prepare successive drafts of legislation or statements and analytical memos which they circulate in paper form for comment or review. For important legislation, these drafts are a primary source for documenting legislative intent. The new super-mini computers allow staff to create, store, and circulate documents via the office automation system. Because of the ease of altering text, there is a danger that permanently valuable drafts (i.e. "numbered," or "substantive" drafts) of bills, reports, and analytical memos will not be retained as part of the permanent record. Committee staff must continue to have access to earlier drafts. System use guidelines should ensure that they have such access.

If the new computers serve as typewriters, file cabinets, copiers, and shredders, then every user must become, to some extent, his or her own file clerk, records manager, archivist, and indexer. Ideally, each committee systems manager, with the help and concurrence of the chief counsel, minority counsel, chief clerk, and minority clerk, will devise procedures and written guidelines that include—

- ☐ instructions for maintaining an inventory of automated information systems
- ☐ documentation to be saved with each automated record, such as the name of the file, file listings, the format and layout of the record, disposition codes, and user guides
- ☐ disposition guidelines for automated records that identify permanently valuable information and provide for its transfer to an archival storage medium such as magnetic tape, microfilm, or paper
- ☐ requirements that departing staff review and transfer noncurrent permanently valuable electronic files from on-line to an archival storage medium
- ☐ control procedures to ensure the security of information
- ☐ instructions specifying the degree of protection to be afforded information stored electronically
- ☐ guidelines for deleting and reusing the magnetic media
- ☐ requirements for the physical maintenance and security of magnetic media

CENTRALIZED SYSTEMS

Senate committees use a variety of centralized systems maintained by the Senate Computer Center. They include those designed for retrieval of legislative information, preparation of individualized responses to issue mail, casework tracking, creation and storage of documents for publication or distribution, and file indexing. The Computer Center maintains centralized systems on magnetic tapes and disks and retains necessary documentation.

Committees should periodically review information stored on these systems for the purpose of identifying that which is permanently valuable and, with assistance from the Archivist, determine the most appropriate format for preservation. Permanent information may be preserved either on computer output microfilm (COM), printouts, or magnetic tape.

Generally, committee information stored on Senate centralized systems is retained in printout form and is interfiled with corresponding paper files. Examples include indexes to CMS correspondence files that are prepared on the Automated Indexing System (AIS), drafts of legislation, reports, and statements prepared on the Automated Textual Management System (ATMS), and various reports available from LEGIS. Many ATMS-produced documents are published.

Occasionally, however, as in the case of the indexes to the records of the Select Committee on Presidential Campaign Activities (Watergate Committee), material is retained on magnetic tape. Committees are encouraged to contact the Archivist (224-3351) for assistance with surveying information on centralized systems and determining the most cost-efficient and convenient format for storing and preserving it. Given the reduced space and greater manipulability of magnetic media, an increasing amount of information will be retained in this format.

DISPOSITION GUIDELINES AND SAMPLE REPORTS: CENTRALIZED SYSTEMS

When using centralized systems, there are a variety of reports available for general information, for record-keeping, for management analysis, and for assessing production workloads of individuals within the office. Some of these reports are important because they provide access to certain information or certain files. Others are of transitory value and may be discarded after a specified time.

To assist chief clerks and systems managers in choosing reports pertinent to their office procedures and to help identify which reports are valuable for historical research, a summary of each system and its reports follows. Selected sample reports are included as exhibits at the end of this chapter. In cases where questions arise on the historical significance of specific files, committee staff should contact the Senate Historical Office (224-6900).

CORRESPONDENCE MANAGEMENT SYSTEM (CMS)

This automated system provides a method for creating many similar, but individualized letters by using approved paragraphs or letters of text merged with correspondent names and addresses. It is used by several committees to respond to high volume issue mail.

The major fields of information available from the system include the name and address of the correspondent, the aide responsible for answering the letter, at least three subject terms about the letter, a paragraph item number, the date of the correspondence, and brief comments about the letter. For a complete listing of all fields of information, contact the Computer Center, Educational Services (224-1517).

Many offices use the document number as a filing key to their CMS files. For these offices, the document number is composed of the julian date, the CMS operator number, the type of correspondence, such as a high volume, or manual entry, and a sequence number. An example follows:

5	150	31	2	001
Year	Date	Operator No.	Type	Sequence No.

Correspondence answered by using CMS is usually filed in document number order, although some offices prefer to file by subject of the letter. Disposition of such correspondence is covered in Chapter III. There are various reports generated by this system for general use within the office. It is recommended that staff consult the Senate Archivist to ascertain exactly which reports and format (paper, microfilm, or tape) would be most practical to retain for future research use.

NOTE—ALL "PERMANENT" WEEKLY REPORTS SHOULD BE RETAINED IN PAPER FORM, AS THEY ARE DELETED FROM THE SYSTEM FOLLOWING PRINTING.

Guidelines for disposition follow—

Abstract Report By Item—Report No. R01/
See Exhibit 4-1
(produced each week for all completed items; does not include deleted or introductory items; includes case items)

Retention: Permanent, each update.
Disposition: Retain in the office with CMS Library for two updates or until no longer of administrative use. Transfer to Senate's archives to serve as an index to Library Item Listing.
Microfilming: If volume warrants, may request an archival quality microfilm of a complete set.

Abstract Report By Topic—Report No. R02/
See Exhibit 4-2
(produced each week for all completed items; does not include deleted or introductory items)

Retention: Permanent, each update.
Disposition: Retain in the office with CMS Library for two updates or until no longer of administrative use. Transfer to Senate's archives to serve as an index for the Library Item Listing.
Microfilming: If volume warrants, may request an archival quality microfilm of a complete set.

Correspondents' Output Report—Report No. R06/
See Exhibit 4-3
(produced weekly)

Retention: Temporary.
Disposition: Retain in the office as long as necessary for administrative purposes, then dispose.
Microfilming: Not necessary.

Daily History Report—See Exhibit 4-4

Retention: Temporary.
Disposition: Retain in the office as long as necessary for administrative purposes, then dispose.
Microfilming: Not necessary.

Frequency Of Items Report—Report No. R07/
See Exhibit 4-5
(sorted in descending order of frequency, produced weekly)

Retention: Permanent.
Disposition: Retain in the office as long as necessary for administrative purposes, then transfer to Senate's archives with corresponding files.
Microfilming: If volume warrants, may request an archival quality microfilm of a complete set.

Frequency Of Items Report—Report No. R07/
See Exhibit 4-6
(sorted by topic, produced weekly)

Retention: Permanent.

Disposition: Retain in the office as long as necessary for administrative purposes, then transfer to Senate's archives with related correspondence files.

Microfilming: If volume warrants, may request an archival quality microfilm of a complete set.

Monthly Statistics Report

Retention: Permanent.

Disposition: Retain in the office as long as necessary for administrative purposes, then transfer to Senate's archives with related correspondence files.

Microfilming: If volume warrants, may request an archival quality microfilm of a complete set.

Operator Entries Report—Report No. R10/
See Exhibit 4-7
(produced weekly)

Retention: Temporary.

Disposition: Retain in the office as long as necessary for administrative purposes, then dispose.

Microfilming: Not necessary.

Tickler Report—Report No. R03/See Exhibit 4-8
(produced weekly)

Retention: Temporary.

Disposition: Retain in the office as long as necessary for administrative purposes, then dispose.

Microfilming: Not necessary.

Tickler Management Status—Report No. R09/
See Exhibit 4-9
(produced weekly)

Retention: Temporary.

Disposition: Retain in the office as long as necessary for administrative purposes, then dispose.

Microfilming: Not necessary.

Topic Breakdown Report—Report No. R08/
See Exhibit 4-10
(produced weekly)

Retention: Permanent.

Disposition: Retain in the office for one year or as long as necessary for management purposes, then transfer to Senate's archives with related correspondence files.

Microfilming: If volume warrants, may request an archival quality microfilm of a complete set.

Unused Items Report—Report No. R13/
See Exhibit 4-11
(produced quarterly)

Retention: Temporary.

Disposition: Retain in the office as long as necessary for administrative purposes, then dispose.

Microfilming: Not necessary.

Weekly History Report—Report No. R04/
See Exhibit 4-12, by aide

Retention: Temporary.

Disposition: Retain in the office as long as necessary for administrative purposes, then dispose.

Microfilming: Not necessary.

Weekly History Report—Report No. R05/
See Exhibit 4-13, by correspondent

Retention: Permanent.

Disposition: Retain in the office as long as necessary for administrative purposes, then transfer to Senate's archives with related correspondence files.

Microfilming: If volume warrants, may request an archival quality microfilm of a complete set.

Library Item Encyclopedia—See Exhibit 4-14

Retention: Permanent.

Disposition: Retain in the office as long as necessary for administrative purposes, then transfer to Senate's archives with related correspondence files.

Microfilming: If volume warrants or if the office would like to retain a copy of the film for ready reference, may request an archival quality microfilm of the complete set.

CMS PRESS SYSTEM

This subsystem of CMS allows staff to create, edit, and store press documents such as press releases, weekly columns, and statements. The text of the document can be stored permanently and indexed under such categories as document type, topic, date of creation, and the initials of the staff member who created the document. It is also possible to file infor-

mation about press documents without filing any text-newspaper clippings, for example.

The disposition of any text stored on this subsystem should follow the disposition suggested in Chapter III for similar paper records. For instance, each office should maintain a complete set of press releases. The format on which to retain them permanently should be a decision made jointly by the staff and the Archivist.

Reports available from CMS Press include—

Press Abstract Report—See Exhibits 4-15 and 4-16
(produced weekly in library item number order and in alphabetical order by topic)
Retention: Permanent.
Disposition: Retain one copy as an index to the related press file. Transfer to Senate's archives when no longer of administrative use.
Microfilming: If volume warrants, may be microfilmed with corresponding paper press files.

Media Contact File
(includes name, address, telephone number, and issue codes which characterize the nature of the contact; produced upon request)
Retention: Permanent, together with key to issue codes.
Disposition: Retain as a record of press contacts as long as needed for administrative purposes, then transfer to the Senate's archives.
Microfilming: If volume warrants, may be microfilmed with related paper press files.

Clipping Abstract Report—See Exhibit 4-17
(sorted by topic, an index to clippings)
Retention: Permanent.
Disposition: Retain as an index to clippings as long as needed for administrative purposes. Transfer to Senate's archives with the clippings file.
Microfilming: If volume warrants, may be microfilmed with related paper press files.

CMS CASEWORK SYSTEM (CWS)

This subsystem of CMS allows the office to create, edit, store, and track casework letters. Casework is usually filed in correspondent name order. (Disposition of the paper casework files is covered in Chapter III.) Reports available from CWS include—

Agency Response Time Statistics—Report No. R18
(produced monthly, upon request)
Retention: Permanent.
Disposition: Retain in office as long as needed for administrative purposes, then transfer to Senate's archives.
Microfilming: Not necessary.

Case Management Status Report—Report No. R17
(produced weekly)
Retention: Temporary.
Disposition: Retain in office as long as needed for administrative purposes, then dispose.
Microfilming: Not necessary.

Frequency of Case Items—Report No. R12
(produced weekly)
Retention: Temporary.
Disposition: Retain in office as long as needed for administrative purposes, then dispose.
Microfilming: Not necessary.

Individual Weekly Abstract Report
Retention: Temporary.
Disposition:: Retain in office as long as needed for administrative purposes, then dispose.
Microfilming: Not necessary.

NOTE—Consolidated reports are available from AIS, see Partial File Listing under AIS. Additional CWS management and tracking reports are also available. For additional information, call ESS at 224-5912.

NEWSLETTER MAIL FILE SYSTEM

This is a centralized system that allows staff to create and maintain a list of correspondent names and addresses. These names and addresses are then used to create labels and lists for mailing purposes. The system is available to all senators, committees, subcommittees, and officers of the Senate.

The files of a Newsletter Mail File System record include the correspondent's name and address, a two-character code identifying more information about the correspondent, such as subject of the letter, a three-character code identifying demographic characteristics of the correspondent, the salutation, and a listing of group names associated with the correspondent (generated and transferred from CMS). *It is imperative that a staff member maintain current lists of the meanings of these codes and groups. Outdated lists should be retained for the permanent record.*

The Committee on Rules and Administration prescribes guidelines for use of this system pursuant to Standing Rule XL. All questions about the use of this system should be referred to this committee. Reports available from this system are generated upon user request. They are—

Full File Listing

Retention: Temporary.
Disposition: Retain for as long as necessary for administrative purposes, then dispose.
Microfilming: Not necessary.

Partial File Listing By Selected Criteria

An example of this type of report is a listing of all correspondents within a certain zip code, who have written about a specific issue.

Retention: Temporary, unless selected criteria were used for a special mailing or survey. (Appraisal by Senate Archivist recommended to ascertain retention and format.)
Disposition: Retain as long as needed for administrative purposes, then dispose. If appraised as permanent, transfer to Senate's archives.
Microfilming: Not necessary.

Area Code Statistics Count

(a numerical listing of "area codes" which are defined by an individual office; congressional districts are sometimes used)

Retention: Permanent, together with the key to the "area code" list.
Disposition: Retain in the office for as long as needed for administrative purposes, then transfer to Senate's archives with accompanying paper records.
Microfilming: Not necessary.

Definite and Possible Duplicates Report—

See Exhibit 4-18

Retention: Temporary.
Disposition: Retain until duplicates are identified and corrections made, then dispose.
Microfilming: Not necessary.

Errors Listing Report

Retention: Temporary.
Disposition: Retain until corrections are made, then dispose.
Microfilming: Not necessary.

Profession Code Statistics Count

(alphabetical listing of "profession codes" assigned by an individual office)

Retention: Permanent, together with the key to the profession codes.
Disposition: Retain in the office for as long as needed for administrative purposes, then transfer with any related paper files to the Senate's archives.
Microfilming: Not necessary.

Update Report—See Exhibit 4-19

Retention: Temporary.
Disposition: Retain until all information is verified, then dispose.
Microfilming: Not necessary.

AUTOMATED INDEXING SYSTEM (AIS)

This system allows staff to index a variety of office automated and paper records, including correspondence, speeches, press files, committee reports, hearings, legislation, investigative case files, reference files, and microfilmed documents. To use it, staff must prepare a standard list of indexing terms, called a vocabulary. When the vocabulary has been approved by senior staff, copies are circulated to all staff so they can use consistent indexing terms. Each office should ensure that one person is responsible for maintaining a current list of all terms being used in the office. Once any change is made, a revised copy should be circulated to all concerned. Committees will need to consider compilation of individualized vocabularies that reflect their particular jurisdictional areas. See Chapter VI, section on subject indexes, for further discussion.

Approximately ninety-five percent of AIS use is to index correspondence records transferred from the CMS system. If files that are indexed are permanent, the AIS records are permanent. If files are not permanent, individual appraisal of the AIS file is recommended. For example, if issue mail is retained permanently, the corresponding AIS index should be retained permanently. If AIS is used to index printed reference materials that are of temporary value, the accompanying index will be of temporary value, and should be disposed with the reference materials. However, in certain instances, an office may wish to retain the AIS index permanently as a summarization of paper files that are disposed. Casework indexes are an example. NOTE—AIS records are stored on magnetic tapes at the Senate Computer Center. With appropriate approval, copies of these tapes may be

transferred to the Senate's archives. It is advisable to consult the Archivist to determine the most appropriate format for retaining permanently valuable information stored on this system.

Generally, each time offices "cut-off" or complete various files, corresponding AIS information should be copied to paper or computer output microfilm and retained with the closed files. Offices also should "archive" their AIS files at the Computer Center, retaining the information on tape for future appraisal by the archivist. Many offices choose to cut-off index files at the end of a session of Congress, or at the end of a Congress.

There are several ways to sort the information contained on the AIS tapes. For historical purposes, the following index sorts are recommended for permanent retention.

TYPE OF DOCUMENTS	*TYPE OF INDEX SORT*
Correspondence	Name Order Topic Order Date Order City Order Numerical Order (especially if documents are microfilmed in numerical order)
Legislative/Investigative	Bill Number Order Topic Order Date Order
Reference Materials	Author/Agency Order Topic Order Date Order
Speeches/Press Releases/Media Files	Topic Order Date Order Name Order

NOTE—Only the final version of the following reports should be retained permanently. The automated format should be retained and appraised by the archivist.

Full File Listing—See Exhibit 4-20

Retention: Permanent if corresponding indexed records are permanent, or if you wish to retain an index as a summary in place of the paper documents.

Disposition: When files are closed, or periodically, if volume is high, obtain a full file listing in desired format. Transfer index to Senate's archives with corresponding paper or microfilmed records.

Microfilming: May request archival quality microfilm for the archives, if volume warrants. May request a second copy for office reference use.

Partial File Listing By Selected Criteria

(Examples include listings of all documents about a particular case, or all correspondents writing about a particular issue, or a listing of press mailings to a particular group.)

Retention: Same as for full file listings.

Disposition: Same as for full file listings.

Microfilming: Same as for full file listings.

Office Management Annual Report/Item Statistics—See Exhibit 4-21

Retention: Permanent.

Disposition: Transfer to Senate's archives with corresponding paper files.

Microfilming: Not necessary.

Office Management Annual Report/Item Statistics By Month—See Exhibit 4-22

Retention: Permanent.

Disposition: Transfer to Senate's archives with corresponding paper files.

Microfilming: Not necessary.

LEGISLATIVE INFORMATION SYSTEM (LEGIS)

LEGIS is an information retrieval system that provides immediate access to the most recent digest and current status of all bills, resolutions, and amendments from the 95th Congress through the present. Also contained in the system is information on presidential messages, executive communications, petitions, and memorials from the 96th Congress; information on committee and subcommittee assignments, the Senate agenda, and nominations from the 97th Congress; and information about treaties from the 99th Congress. The daily floor schedule from the majority leader's office, Senate precedents and procedures compiled since July 30, 1981, and reports summarizing pending business on the Senate floor are also available on LEGIS.

Available reports that are particularly relevant to committee work (they may be used to compile committee calendars) include—

All Option Reports—See Exhibits 4-23, 4-24, and 4-25
(for bills, treaties, and nominations referred to each committee)

Retention: Permanent. A final report for each bill, nomination, and treaty referred to each committee.
Disposition: A record set will be compiled by the Archivist and forwarded to the Senate's archives at the end of each Congress.
Microfilming: Undetermined.

Autotracking Reports—See Exhibit 4-26
(Includes information on current status of a bill)

Retention: Temporary.
Disposition: Retain in the office for as long as needed for administrative purposes, then dispose.
Microfilming: Not necessary.

Committee Information and Membership—See Exhibit 4-27

Retention: Permanent.
Disposition: A record set will be compiled by the Archivist and forwarded to the Senate's archives at the end of each Congress.
Microfilming: Not necessary.

ADVANCED TEXT MANAGEMENT SYSTEM (ATMS)

ATMS is authorized for use by all Senate committees, subcommittees, and officers of the Senate. Use of ATMS varies from office to office, but the primary uses include drafting committee calendars, reports, memos, speeches, and other types of lengthy documents that require editing and updating.

Most routine preliminary drafts of documents stored on ATMS may be classified as "working papers," and therefore, need to be retained only for as long as needed for administrative purposes. The final copy of most such documents should be retained with the permanent collection of records. As an example, preliminary versions of a speech that goes through several edits generally need not be retained, but a final copy should be included with the permanent collection. *Any substantive revisions of a speech that reflect change in policy and/or position, or drafts of legislation that are circulated for comment should be retained as permanent records.*

As office automation is installed and utilized more extensively, ATMS most likely will be phased out gradually, although some offices prefer ATMS, feeling that it more suitably meets their needs. Several offices have transferred their ATMS documents to office automation systems. Offices undergoing conversion have the following options with regard to saving permanently valuable documents—

- ☐ "archiving" their documents on the mainframe for the Senate Computer Center to store;
- ☐ printing and saving a hard copy; or
- ☐ microfilming hard copies of documents

Questions on procedures for transferring ATMS documents to office automation systems should be directed to the Educational Services and Support Division of the Senate Computer Center at 224-1517. Offices requiring assistance with identifying documents for permanent retention should contact the Archivist at 224-3351. Remember, when converting information from one system to another, it is extremely important to retain all items that document the legislative and oversight work of the committee. Any destruction of historical committee records would be a violation of Senate Standing Rules XXVI(10)(a) and XI(2).

DECENTRALIZED SYSTEMS

During the 100th Congress, committees increasingly turned to decentralized systems to process reports, correspondence, drafts of legislation, graphic displays, and to track their own committee budgets as well as the federal budget. Equipment types for these systems vary from microcomputers and standalone systems to fully integrated systems using the mainframe computer. In addition, most committees have selected one of the three approved office automation systems available to Senate offices—Data General, Honeywell, and Prime.

Decentralized systems have shifted the burden of system's management from the Senate Computer Center to each individual committee. Committees bear primary responsibility for instituting document creation guidelines, document retention codes, procedures for transferring permanent documents to an archival storage medium, developing controlled vocabularies for standardized indexing and filing, and devising regular routines for disposition of historically valuable information stored on magnetic media.

The decision about whether an electronic document is a permanent record needs to be made earlier than for paper due to the ease of erasure and alteration. It is now the system manager's responsibility to implement techniques and procedures that facilitate records retention. The following sections provide certain suggestions.

DOCUMENT CREATION

Systems managers will need to address several records management issues as they oversee system development and use throughout their committees. Together with the chief counsel, chief clerk, and other staff users, the systems manager should devise *appropriate procedures for document creation.* Future retrieval and accurate disposition depends on consistent document naming within an office over time. Also, confidentiality will be enhanced if files are accurately named, allowing for continued protection of sensitive material.

Staff should not invent idiosyncratic labeling systems, but should name documents according to standard committee/subcommittee guidelines. If staff invent their own labeling, the information will be inaccessible to future staff (and probably to themselves after a short time.) Also, they will not be in compliance with the intent of Senate Standing Rule XXVI(10)(a) which states that "the Senate shall have access" to committee records.

Generally, each document should be named, dated, and described as it is entered into the system with sufficient detail to permit retrieval. Information to be entered includes the subject, office of origin, file code, key words, addressee (if any), author, date, retention code, and security or privacy notation, if necessary. Exhibits 4-28 through 4-30 provide sample document summaries and naming conventions for each of the three approved systems together with examples of resulting file listings. These examples have been reviewed and evaluated by the vendors, staff at the Senate Computer Center, and the Senate Archivist. They are considered appropriate for providing the information necessary to facilitate retention, disposition, preservation, and future access. Exhibit 4-31 is a list of Document Series Codes and their suggested retention.

Committees should adapt these examples to fit their own routines, but changes should be documented. Each administrative unit within a committee should compile document creation and naming guidelines for all staff in the unit to follow. These guidelines will become part of the system documentation and must be retained along with indexes to disks and tapes. This is especially critical for committees that anticipate preserving the data in electronic form, but also will be of great help when transferring documents to paper.

Filing guidelines serve the purpose of standardizing document description within each office so that appropriate indexing and systematic disposition of the records can take place without someone having to read through every document. As systems begin to fill up and response time slows, systems managers will have to transfer non-current permanent information to an archival storage medium. The examples in exhibits 4-28 through 4-30 contain two very important codes that will assist with transfer work—files series codes and archival retention codes.

FILE SERIES CODES

File series codes should be added to each document created on the system to reflect and cross-index corresponding paper files maintained in the office. A list of file series codes is provided in exhibit 4-31. Because they mirror the paper filing series, they can be used to assign retention and disposition which traditionally is specified by record series. For example, a substantive draft of a bill created on the system and coded as part of a bill file (which is a permanent series) would be a permanent document. When all documents pertaining to a particular bill are deemed to be non-current (no longer needed for current business), the systems manager will use the bill series code to identify them and transfer them in sequence to the permanent storage medium. (Suggested retention for each type of committee record series is provided in Chapter III.)

ARCHIVAL RETENTION CODES

Alternatively, staff may choose to assign archival retention codes to each document as it is created. Examples provided in exhibits 4-28 through 4-30 show how retention codes can be captured in the document summaries of each of the three approved systems. Retention codes may be assigned to each document or to each file series, thus facilitating the deletion of temporary material before the permanent record is made.

File series and archival retention codes may be entered into the document summary as the document is created. This method requires full support and comprehension of the codes by each system user. Some offices are able to achieve this level of cooperation. Most offices, however, find it more convenient to designate "assistant systems managers" in full and subcommittee offices who will assign appropriate codes on a weekly basis. This arrangement more closely follows normal paper filing routines and has the advantage of developing naming and indexing consistency.

PERMANENT STORAGE MEDIUM

The committee staff and the systems manager together with the Archivist should jointly decide which medium (paper, microfilm, or tape) will become the archival storage medium for permanent records created on automated systems. The medium selected may vary depending on the particular system (office automation, PCs) and its use. For example, IBM PCs utilized for budget tracking and analysis produce spread sheets and graphs. When such

items are used to justify a position, they normally are printed out and filed with the related bill file. Retaining such records in paper form is logical and efficient.

On the other hand, the OA systems may be used to create data bases containing information about bills, oversight issues, and investigations. Committees may wish to retain this information in automated format to facilitate access, perform speedy searches, and perhaps save space. Consultation with the Archivist is recommended before a final decision is reached. Certain criteria for evaluation, including adequacy of documentation, value of the information, technology and cost considerations, manipulability and access time, indexing capabilities, the independence of the medium from specific equipment, and validity for statistical analysis should be applied.

If computer tape is the selected medium, tapes must be produced that meet the National Archives requirement for the preservation of magnetic tapes. Data General, Honeywell, and Prime have devised procedures to produce archival tapes. To schedule production of the tapes, contact the Senate Computer Center. To transfer tapes to the Archives, contact the Archivist.

Regardless of the storage format selected, the systems manager should ensure that permanent records are routinely transferred to the designated medium. The frequency of staff turnover and changes in full committee and subcommittee chairmanships makes this essential.

INDEXES AND STANDARD TOPIC OR KEYWORD LISTS

Indexes should be created for all documents stored on-line and off-line. A separate index should be created for retired records. Systems should be able to retrieve documents by document date, disposition code, series code, and subject/keywords. If the system is not able to do this when such information is contained within the body of the document itself, the index must contain this information. Indexes containing these items will be useful for carrying out accurate records disposition. Examples of indexes are included in Exhibits 4-28 through 4-30.

Standard topic/subtopic or keyword lists, which may be coded if necessary, can facilitate indexing and retrieval. Prime and Honeywell both have a particular need for coding in the "folder" categories which are limited in space. The subject list will be most useful in the "drawer" and "folder" categories of Data General. By assigning subjects and keywords from a standard vocabulary, staff will have better access to stored and retired documents. An example of one committee's subject codes is included in exhibit 4-32. Assistance with compiling specific lists based on committee oversight areas is available from the Archivist and specialists at the Library of Congress.

SECURITY

Systems managers should promote security requirements and procedures that ensure an adequate level of security for all electronic information. Only authorized staff should have access to electronic information and all system users should be aware of their systems' vulnerabilities. They should be trained to safeguard sensitive information or information subject to the Privacy Act of 1974. (Such information may be marked, if necessary.)

Appropriate authentication and sign-on protocols should be devised together with routines for checking file system security and maintaining console security. Controls should be developed to prevent unauthorized alteration or erasure. Back-up systems should be implemented to safeguard against information loss and procedures for periodic recopying and upgrading should be implemented. For permanent information stored on magnetic tape, a 9-track ASCII tape with extraneous control characters removed must be created for preservation in the Senate's archives. (For additional specifications see 36 CFR 1228.188.)

Most important for security, all electronically stored information should be appraised and appropriate disposition determined. Procedures to retain information should be in place before a system becomes operational. Committees also need to ensure that necessary software, equipment, and documentation is available. Adequate indexes will help to promote document security by properly identifying documents and by facilitating disposition.

SYSTEM DOCUMENTATION

One final management task is to retain adequate system/file documentation. Regardless of how documents are stored, whether on diskette, disk, or 9-track tape, a good description of each unit is essential. Labels for each media should include the title and a list of contents, date the files were created, software name, file code, and name of the equipment used to create the file. It is advisable to use the system software to print out the file listings to the disks and tapes. An inventory form is included in the following section for use in preparing labels.

HOW TO INVENTORY AUTOMATED RECORDS

To ensure that records stored on/off-line can be retrieved and assigned appropriate disposition, it is essential to maintain current inventories and indexes. All magnetic media files and systems in the committee should be inventoried including electronic mail.

Maintain separate indexes for retired files. If the system is not able to retrieve documents by date, series code, archival retention code, and subject/keywords, the retrieval index should contain these items of information. The following descriptive elements are necessary—

- ☐ The names and titles of the people using the files.
- ☐ The titles of the systems and files.
- ☐ Purpose in creating the file.
- ☐ Description of information in the file.
- ☐ Inclusive dates of the records.
- ☐ Special prefixes, suffixes, or special characters to indicate permanently valuable documents, document series, and file code keys, together with a copy of the standard vocabulary used for assigning subjects or indexing.
- ☐ For records of long-term value, certain technical information to be supplied by the vendor. This will be necessary for future use by the office or the Senate's archives.

For your convenience, an inventory sheet is reproduced on the following page.

UNITED STATES SENATE
INVENTORY OF AUTOMATED RECORDS

Committee/Subcommittee:
Date of Inventory:
Staff Member Completing Form:

Check One Category Per Sheet

Centralized System	Purchased Or Decentralized System	Contractor Created
CMS	Data General	.....
ATMS	Honeywell	.....
Mail File	Prime	.....
Indexing	Other	.....

Primary system user(s): .....

Purpose of the system (include sources of data and principle products): .....

.....

Software packages in use: .....

Summary of information contained on tape, disk, or diskette (indicate whether or not the information is sensitive.) Attach full file listing produced by system software: .....

.....

Date range of information: .....

How is the information arranged on the media (name, date, subject, random): .....

Is there a standardized vocabulary or keyword list (if yes, attach): .....

Recommended Retention

Reusable Magnetic Medium—If so, when: .....

Permanent—For *Centralized Systems* transfer documents to an archival storage medium and determine which reports will be requested from SCC. May wish to attach a list of reports selected for permanent retention; For *Decentralized Systems* that are software dependent, transfer permanent documents to an archival storage medium before reusing the storage media. Consult Senate Archivist to discuss appropriate storage medium.

DISPOSITION GUIDELINES

Archival Retention Codes for Electronic Filing—OA Systems

The examples presented in exhibits 4-28 through 4-30 include three codes which represent document retention categories. The codes have been entered as numbers, or in the Data General example, as a keyword. The codes provide for three retention periods—

1 = permanent, retain for committee archives

2 = transitory, retain for a period of time, to be determined by the committee

3 = dispose upon completion, or when no longer of administrative use

Documents coded as category one should include all those listed in the executive summary and Chapter III. Especially important are substantive drafts of legislation, speeches, and mark-up materials (indicating change of position or policy). These may be created and circulated on the system or accessed via the Senate switch for comment by staff within the committee or the committee member's offices. Also important are electronic messages and mail documenting policy or position. (For further discussion, see sections on electronic mail and personal computers in this chapter.) A selected list of documents and their appropriate retention codes follows—

Category 1: Permanent

- ☐ Staff analytical or briefing memos concerning legislation, oversight, nominations, investigations, and committee operations
- ☐ Correspondence concerning committee precedents, jurisdiction, and operations policy
- ☐ Substantive drafts of bills, reports, speeches, and statements
- ☐ Section-by-section analysis sheets
- ☐ Correspondence with agency officials, interested parties, Senate leadership, committee members, witnesses, and other information sources concerning committee business
- ☐ Press documents including speeches, press releases, newsletters, and articles
- ☐ Minutes or summaries of committee meetings
- ☐ Graphs and spreadsheets used to support a position or illustrate a point
- ☐ Daily schedules of senior staff

Category 2: Transitory

- ☐ Correspondence with witnesses setting up hearing schedules; retain for one year following hearing, then dispose
- ☐ Committee reports that are published for wide distribution; retain until printed version is verified, then dispose
- ☐ Casework tracking correspondence; retain until case closed, then dispose; may wish to retain a list of closed cases
- ☐ Replies to high volume issue mail, "pressure mail"; retain for one Congress, then dispose
- ☐ Committee budget records, vouchers, and accounts; retain for two congresses, then dispose
- ☐ "Tickler" files

Category 3: Dispose

- ☐ Staff non-substantive working drafts and revisions of bills, reports, amendments, and mark-up materials
- ☐ Notices of staff meetings
- ☐ Responses to general requests for information, documents published by the committee, or job applications and inquiries
- ☐ Equipment inventories
- ☐ Room use schedules

GUIDELINES FOR PERSONAL COMPUTERS (PCs)

Most committees have been authorized to acquire at least two IBM 3270 personal computers (PCs) for use by their economists and budget specialists in analyzing and tracking the federal budget and in administering their own budgets. The Banking Committee also has acquired Prime PCs to produce side by side prints of bills. Some committees, such as Budget, Appropriations, and Finance, rely heavily on PCs and have obtained additional units which can be used individually or networked. Use of PCs in committees will continue to increase as they replace the centralized Program Review System.

Input data primarily includes accounting, budgetary, and score keeping data from CBO and OMB. This data is maintained at the Senate Computer Center and can be down-loaded from the Senate's mainframe or it can be entered manually. Floppy diskettes of the president's budget submission are available from SCC upon request. Staff sometimes combine this information with specialized information about financial and performance aspects of programs obtained from a variety of sources including the agencies, Economic Bulletin Board, and the Federal Data Procurement Center.

Using LOTUS 1-2-3, an integrated software package with spreadsheet, graphics, and data base capabilities, or an individually tailored software as in the case of the Appropriations Committee, staff create data bases for programs over which they have jurisdiction. Staff use the data to perform comparative and statistical analyses to discern relationships and test theories about alternative program levels, create

graphic displays, and to track specific programs through the budget cycle. Sample reports are included as exhibits 4-33 through 4-35.

Some committees have added individual graphics packages such as Chartmaster and word processing software such as Wordperfect. Word processing software is useful for compiling committee Views and Estimates reports, mark-up drafts of authorization and appropriations bills and budget resolutions, and budget status reports summarizing the effects of legislative actions on particular programs. In addition, investigative committees find it useful to create specialized data bases that provide instant access to large bodies of pertinent data.

Sensitive information processed on these systems should be stored on floppy disks in locked file cabinets while material that is not sensitive generally may be stored on hard disks. As with data stored on any form of magnetic media, if it is to be retained permanently, it must be transferred to an archival storage medium (paper, microfilm, or 9-track tape). The Archivist should be consulted for appraisal assistance and to help determine the storage medium. Guidelines for retention follow.

Retain Permanently—

- ☐ Spreadsheets, reports, and graphs produced, circulated, and used to support committee recommendations or to justify policy
- ☐ Substantive drafts of bills, resolutions, and side by sides used in mark-up
- ☐ Substantive drafts and final versions of Views and Estimates and other financial and budgetary reports used in mark-up or to justify a certain position or policy
- ☐ Special committee data bases containing information of permanent or long term value for committee operations, legislative work, oversight, investigations, and program evaluation. Such data may indicate economic or budget trends or contain information that would be difficult and costly to reassemble

Temporary Retention—

- ☐ Spreadsheets and graphics produced, but not used, to support or illustrate decisions or policy
- ☐ Drafts of bills and resolutions with minor editorial changes
- ☐ Budget tracking reports not used to justify decisions or policy
- ☐ Data bases containing information compiled for tracking authorization and appropriation legislation, financial trends, and budget score keeping. (The final reports issued by the committee or reports that are printed out and circulated should be retained permanently)

Statistical Files

Files containing individualized data received or purchased by a committee and used for statistical analysis should also be inventoried and assigned appropriate disposition. Information in such files might include economic data, demographic data, or survey results. Final reports containing the statistical tabulation and analysis of findings together with a narrative description of the methodology employed should be designated permanent.

Retention: Possibly permanent
Disposition: Prepare an inventory sheet for the file. Maintain the file in the office until no longer needed to conduct current business and no longer needed for reference. Request appraisal assistance from the Senate Archivist.

Sample Files

Files containing individualized data selected from a larger census or survey file, from a source outside the Senate and not available through the sources routinely maintained at the Senate Computer Center, also should be inventoried. Final reports containing the statistical tabulation and analysis of findings together with a narrative description of the methodology employed should be designated permanent.

Retention: Possibly permanent
Disposition: Prepare an inventory sheet for the file. Maintain the file in the office until no longer needed for reference. Request appraisal assistance from the Senate Archivist.

Committee Data Bases or Index Files

Data bases or indexes referencing paper or automated records within the committee office are records of particular importance. It is advisable to retain a final copy of any index to paper files on paper to facilitate disposition and archival control. Large complex data bases must be appraised on an individual basis and appropriate retention determined through consultation with the archivist.

Retention: Permanent, if the corresponding records are permanent. Also may be permanent if they summarize particular committee projects and business or the information in the data base is determined to have long term value.

Disposition: Prepare an inventory sheet for the file. Maintain the files in the office until no longer needed to conduct current business and no longer needed for reference. Request appraisal assistance from the Senate Archivist in a timely manner.

Publication Files

Files containing the text of a document that is printed for wide distribution. **NOTE**—One copy of each publication is recommended for permanent retention.

Retention: Temporary.
Disposition: Dispose or erase and reuse when publication is produced and, as appropriate, has been through one update or revision.

Print File

Source output data extracted from the system to produce printouts of tabulations, ledgers, tables, registers, and/or reports.

Retention: Temporary.
Disposition: Dispose of when superseded or obsolete.

Administrative Files

Routine files such as office budgets and accounts, internal payroll information, notices of staff meetings, and informal non-substantive memos.

Retention: Transitory.
Disposition: Prepare an inventory sheet for the file. Maintain the file in the office until no longer needed to conduct current business and no longer needed for reference. Disposition should follow that suggested for similar types of files as listed in Chapter III, "Committee Management."

ELECTRONIC MESSAGE/MAIL AND INTRA-OFFICE COMMUNICATIONS

Electronic message/mail is available from the three approved OA systems and most committees utilize it extensively to prepare and distribute phone messages or notices and memos to committee staff authorized to receive the message. An all-Senate electronic mail system is available. Eventually, offices will be able to use the software to transfer unformatted text between systems. In addition, all three OA systems have communications capabilities which allow staff to "dial in" to systems in other offices through the Senate data switch. In this way, staff may view and edit documents on systems in other offices, for example, committee staff so authorized, could access a document in a committee member's office. Committee administrative staff should address several important issues regarding use of such systems.

- ☐ Which staff members are authorized to view, edit, and receive electronic messages/mail or to "dial in" to another office system?
- ☐ What office records will be created and transmitted using these systems?
- ☐ What storage capability is available from the system to retain a permanent copy of the record?
- ☐ Is the information being created and transmitted or edited of historical value to the committee? Does it contain policy information or justification of a particular position? Is it a substantive draft which should be retained?
- ☐ Are procedures in place to ensure the preservation of this information, to file it electronically and copy it to paper or transfer it to archival tape?
- ☐ Has consideration been given to creating an index to permanently valuable records created on an electronic message system?

Retention and Disposition Guidelines

Generally, the disposition of communications stored on electronic message/mail systems should follow the retention guidelines specified for the same type of information formerly stored on paper. Examples include—

Retention: Permanent. Memos and correspondence between committee staff counsels or members, especially substantive communications concerning legislation, nominations, committee business, issues, policy positions, strategy, and committee management policies.
Disposition: Save and file the document according to system procedures, then at regular intervals, the systems manager should transfer them to an archival storage medium. For documents sent from one office to another, both sender and receiver should save a copy.

Retention: Temporary. Routine administrative memos and messages that contain no substantive information or decisions and lose their administrative purpose after a short time, such as notices of staff meetings, coordinating appointments and hearing schedules, brief phone messages, and messages containing information incorporated in other permanent records.

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Disposition: Retain only as long as necessary for administrative purposes, then dispose.

Back-Up Files

Most decentralized files require periodic back-up procedures. Refer to system documentation to determine the frequency of file backups.

Retention: Permanent, if original files are permanent. Temporary, if original files are temporary.
Disposition: Retain or dispose as provided for the related original files.

System/File Technical Documentation

Includes records required for entering information into an automated system, operating the system, maintaining specific applications, and converting the information back to human-readable form. Generally, the disposition of documentation is linked to the disposition of the related automated file. Committees anticipating transfer of magnetic tape to the Senate's archives must include system/file documentation. Consult the Archivist to ascertain specific requirements for each transfer. Necessary documentation could include the following—

File Specifications

Includes definitions of the logical and physical characteristics of each record, element, or item of data in the file; relative position, form, format, and size of data elements (record layout); codes used; cross-reference code manual; security and privacy restrictions; validity characteristics; update and access conditions; recording medium and volume; and sample copy of each input/source document.

Retention: Permanent, if related magnetic media file is permanent. Temporary, if related magnetic media file is temporary.
Disposition: If permanent, retain with related data file. (May need to obtain such information from the vendor. Attach to a survey sheet.)

User Guides

Includes handbooks and guides that describe the functions of the system and detail the preparation of input data and interpretation of results. User guides are also available for the OA systems.

Retention: Permanent, if related magnetic media file is permanent. Temporary, if related magnetic media file is temporary.
Disposition: If permanent, retain with related data file.

Output Specifications

Includes descriptions of products of the system such as listings of each type of output by title and tag, format specifications, selection criteria, volume and frequency, media, graphic displays and symbols, security and privacy conditions, and disposition of output.

Retention: Permanent, if related magnetic media file is permanent. Temporary, if related magnetic media file is temporary.
Disposition: If permanent, retain with related data file.

Information Retrieval

Series of machine instructions designed to retrieve information from the specific data systems which are—

☐ General purpose programs (centralized at the Senate Computer Center)

Retention: Temporary.
Disposition: Dispose when no longer needed.

☐ Special purpose programs

Retention: Permanent, if related magnetic media file is permanent.
Disposition: If Permanent, retain until information has been converted to an archival storage medium.

MAINTENANCE OF AUTOMATED RECORDS IN THE OFFICE

Magnetic media are extremely fragile and, without special precautions, may easily become damaged or destroyed. To avoid damaging records within the office, it is imperative that office management establish standard procedures for handling these media by consulting the vendor about the manufacturer's suggestions for proper storage and maintenance. These procedures should be developed before the office begins using the systems. Many manufacturers will provide paper jackets and storage boxes for diskettes. Remember, magnetic media have shorter life expectancy than paper or microfilm, and it is more vulnerable. Consideration should be given to—

☐ Library for Storing Diskettes and Disks—It is important for each office to establish a library for storing magnetic media. Ideally, this library should be located in a room with a constant temperature of around 60 to 70 degrees and a humidity factor of 40 to 50 percent.
☐ Location of Library—The library should be located in a central location within the office to allow for easy access by all staff to the diskettes and disks. If the information is sensitive, additional se-

curity may be provided by storing the media in a locked file cabinet.

☐ Guidelines for Use—For staff who operate the system, there are some general guidelines that should be observed when handling the diskettes or disks—

(1) When in use, keep the media away from other electrical equipment in the office.
(2) Avoid placing diskettes or disks near metal and magnetic objects. Even the slightest contact with a magnetic object could cause the information to become altered or erased.
(3) Do not apply rubber bands, paper clips, or tape, or place anything heavy or dusty on the media. The manufacturer should provide special labels for marking the diskettes and disks.
(4) Do not place the media in direct sunlight or close to a heating outlet. Heat may warp the diskettes or disk, and possibly damage the information contained on the media.
(5) Avoid drinking, eating, and smoking around the equipment and the storage media.

MAINTENANCE OF PERMANENT RECORDS

Besides being properly stored, all magnetic media used for storing permanent records should be tested and certified no more than six months before being used. Newly written tapes containing permanent records should be verified as error free. A three percent sample of all reels should be read annually to identify any loss of data, to discover the causes, and correct them. Tapes with ten or more errors should be replaced, and, if possible, the lost data restored. Magnetic media containing permanent records should be kept separate from those containing temporary records. (See 36 CFR 1234.4, care, handling, and storage of magnetic computer tapes and disk packs.)

ELECTRONIC FILES CHECKLIST

☐ Has the systems manager established guidelines for document creation, including protocols for coding and indexing?
☐ Does the systems manager monitor for compliance?
☐ Are automated files inventoried and assigned disposition with assistance from the Archivist?
☐ Has the archival storage medium been determined in consultation with the Archivist? Has someone been assigned responsibility for transferring permanent information to an archival storage medium?
☐ Has a comprehensive list of subject (index) terms been compiled, and is it used for systems "folder" titles, as appropriate?
☐ Is the index produced by the system adequate to meet retrieval requirements?
☐ Are back-up files stored off-site?
☐ Are inactive files/tapes checked for data loss and reconstruction promptly accomplished?
☐ Is adequate system documentation available?
☐ Are sensitive records marked?

Chapter IV
Exhibits

CMS

4-1 Abstract Report Sorted by Item
4-2 Abstract Report Sorted by Topic
4-3 Correspondents' Output
4-4 Daily History Report
4-5 Frequency of Items
4-6 Frequency of Items by Topic
4-7 Operator Entries Report
4-8 Tickler
4-9 Tickler Management Status
4-10 Topic Breakdown
4-11 Unused Items
4-12 Weekly History Report
4-13 Weekly History by Correspondent
4-14 Library Item Encyclopedia

CMS Press

4-15 Press Abstract by Item
4-16 Press Abstract by Topic
4-17 Clipping Abstract Report

Newsletter Mail File

4-18 Definite and Possible Duplicates
4-19 Undate Report

AIS

4-20 Full File Listing
4-21 Office Management Annual Report of Item Statistics
4-22 Office Management Annual Report of Item Statistics by Month

Legis

4-23 All Option Report-Bills
4-24 All Option Report-Treaties
4-25 All Option Report-Nominations
4-26 Auotmatic Legislative Tracking
4-27 Committee Information and Membership

Office Automation Exhibits

4-28 Naming and Filing Conventions-Data General
4-29 Naming and Filing Conventions-Honeywell
4-30 Naming and Filing Conventions-Prime
4-31 Document Series Codes for Office Automation Systems
4-32 Committee Subject Listings
4-33 through 4-35 Examples of Budgetary Reports

ABSTRACT REPORT

R01

Sorted By Item

TOPIC	SUBTOPIC	ITEM NUMBER	SYNOPSIS	UPDATED
Intro		1	Fi subj. of letter; Thanks for letter, happy to know views	JAN-07-82
Intro		2	Fi date of letter; Thanks for bringing matter to attention	JAN-07-82
Intro		3	Fi date of letter; Thanks for letter	JAN-07-82
Close		4	Disagree on issue	JAN-07-82
Close		5	Thank you again; keep in touch	JAN-07-82
Close		6	Thank you again	JAN-07-82
Close		7	Good to hear from you; keep informed of activities	JAN-07-82
Intro		8	Fi publication name; thanks for publication	JAN-07-82
Close		9	Call on me, look forward to hearing from you	JAN-07-82
Postal service	General	10	Fi P.O. name, has intro—closing of P.O., S. 3082	JAN-07-82
Taxes	Marriage penalty	11	Enc—single and married tax differences	SEP-17-82
Energy	Public utilities	13	Fi County—adverse impact elect. serv. in counties	JAN-07-82
Wildlife	Animal abuse	14	Soring of horses	JAN-07-82
Energy	Synthetic fuels-con	15	Support industry efforts to produce fuels	JAN-07-82
Environment	Solid waste	16	Apprec. learning concern about solid waste management	JAN-07-82
Environment	Solid waste	17	Newspaper disposal	JAN-07-82
Public activities	Congrats from senator	18	WI, short—naturalization	JAN-07-82
Public activities	Congrats from senator	19	WI, short, fi occasion—for example, 75th birthday	JAN-07-82
Interior	National parks	20	Green Valley strip mining	JAN-01-80
Housing	Rent control	22	Support local rent control, I agree completely	JAN-07-82
Intro		23	Fi subj. of letter.; Thanks for expressing support	JAN-07-82
Intro		24	Fi subj. of letter.; Thanks for expressing opposition	JAN-07-82
Intro		26	Thanks for responding with info needed	JAN-07-82
Academy	Acceptance-congrat	28	WI, fi academy name	APR-09-81
Academy	Sponsor	38	Fi const name, academy, he she; thanks for letter for candidate.	APR-90-81
Academy	Initial forms	39	WI, fi academy—ack to candidate, enc info package	APR-09-81
Academy	Application sent	40	WI, fi date, city—receipt of folder	APR-09-81

ABSTRACT REPORT R02

Sorted By Topic

TOPIC	SUBTOPIC	ITEM NUMBER	SYNOPSIS	UPDATED
Close		4	Disagree on issue	JAN-07-82
Close		5	Thank you again; keep in touch	JAN-07-82
Close		6	Thank you again	JAN-07-82
Close		7	Good to hear from you; keep informed of activities	JAN-07-82
Close		9	Call on me, look forward to hearing from you	JAN-07-82
Intro		1	Fi subj. of letter; Thanks for letter, happy to know views	JAN-07-82
Intro		2	Fi date of letter; Thanks for bringing matter to attention	JAN-07-82
Intro		3	Fi date of letter; Thanks for letter	JAN-07-82
Intro		8	Fi publication name; Thanks for publication	JAN-07-82
Intro		23	Fi subj. of letter; Thanks for expressing support	JAN-07-82
Intro		24	Fi subj. of letter; Thanks for expressing opposition	JAN-07-82
Intro		26	Thanks for responding with info needed	JAN-07-82
Academy	Acceptance-congrat	28	WI, fi academy name	APR-09-81
Academy	Application sent	40	WI, fi date, city—receipt of folder	APR-09-81
Academy	Intitial forms	39	WI, fi academy—ack to candidate, enc info package	APR-09-81
Academy	Sponsor	38	Fi const name, academy, he she; thanks for letter for candidate.	APR-09-81
Congress	Privileges of office	46	Senate spending, communicating with constituents	JAN-07-82
Energy	Public utilities	13	Fi county—adverse impact elec. serv. in counties	JAN-07-82
Energy	Synthetic fuels-con	15	Support industry efforts to produce fuels	JAN-07-82
Energy	Synthetic fuels-pro	42	Support industry efforts to produce fuels	JAN-07-82
Environment	Solids waste	16	Apprec. learning concern about solid waste management	JAN-07-82
Environment	Solid waste	17	Newspaper disposal	JAN-07-82
Housing	Rent control	22	Support local rent control, I agree completely	JAN-07-82
Interior	National parks	20	Green Valley strip mining	JUN-01-80
Interior	National parks	47	Ban strip mining and protect wildlife sanctuaries	JAN-07-82
Postal service	General	10	Fi P.O. name, has intro-closing of P.O., S. 3082	JAN-07-82

OFFICE MANAGEMENT WEEKLY REPORT

Correspondent's Output

AIDE	TOTAL QUANTITY	PERCENT OF TOTAL OUTPUT	ISSUE	CASE	TYPE OF DOCUMENT			ADMIN	MISC	SINGLES CMS LET	PRODUCTION METHOD		CASE	UNKNOWN
					PROJECT	INVITATION	REQUEST				GROUPS CMS LET	DATA		
CJL	1,377	22.83	1,370	0	1	0	0	0	6	8	1,369	0	0	0
GS	1,074	17.81	1,074	0	0	0	0	0	0	43	1,031	0	0	0
PB	2,548	42.24	1,849	0	0	0	0	0	699	3	2,545	0	0	0
SB	65	1.08	61	0	1	0	0	0	3	65	0	0	0	0
YCB	4	.07	0	0	0	0	0	0	4	0	0	0	4	0
YEK	52	.86	0	52	0	0	0	0	0	0	0	0	52	0
YLL	36	.60	0	0	0	0	0	0	36	0	0	0	36	0
YRS	10	.17	0	10	0	0	0	0	0	0	0	0	10	0
ZFN	71	1.18	0	44	0	0	0	0	27	0	0	0	71	0
ZHB	16	.27	0	0	0	0	0	0	16	0	0	0	16	0
ZID	65	1.08	0	42	0	0	0	0	23	0	0	0	65	0
ZLW	670	11.11	0	24	0	0	0	0	646	0	0	0	670	0
ZM	1	.02	0	1	0	0	0	0	0	0	0	0	1	0
ZMB	43	.71	0	29	0	0	0	0	14	0	0	0	43	0
Totals	6,032	100.00	4,354	202	2	0	0	0	1,474	119	4,945	0	968	0

DAILY HISTORY REPORT

Sorted By
Office Location, Disposition and Document Number

DOCUMENT NUMBER	AIDE'S INITIALS	CONSTITUENT NAME	TOPICS DISCUSSED IN LETTER (REFER TO CATALOG)
0011012001	AB	Dabbs, W. E., Mr., Jr	Energy/oil.
0011012002	AB	Rogers, Herbert G., Mr	Energy/prices.
0011012003	AB	Price, Alfred L., Mr	Energy/natural gas.
0011052001	KB	Haggard, Dee, Mr	Request/tour.
0011052002	KB	Landrieu, Moon, Honorable	Request/general.
0011052003	KB	Griffin, Jim, Mr	Employment/office.
0011072001	PW	Lingle, Robert, Mr.	Health/hospital cost containment.
0011072002	PW	Horvath, Frank, Mr	Public welfare/social security.
0011072003	PW	Watts, James, Mr.	Banking/mortgages.
0011072004	PW	McKeever, Joe N., Reverend	Taxes/exemptions.
0011011001	JB	Manderson, C. L. Mr	397.
0011011002	JB	Aregood, Charles E., Mr. and Mrs	0, 45, −345, 42.
0011011003	JB	Berryhill, P. Lamar, Mr	−345, 121, 393, 42.
0011011004	JB	Canizaro, James T., Mr and Mrs.	0, −345, −121, 79, 42.
0011011005	AB	Mitchell, Roy L., Mr	247, −84, 7.
0011011006	AB	Fowler, Donald C., Mr	Natural resources/Alaska lands-con, 2, −224, 0, 0.
0011011007	AB	Bateman, Thomas S., Mr.	Energy/international, 2, 0, 0, 236.
0011011008	AB	Walton, Lillian Mrs	Energy/prices, 2, 0, 236.
0011011009	PW	Pritchard, H. O., Mr.	2, 0, 113, 401, 174, 0, 42.
0011011010	PW	Buie, Mabel P., Ms	2, 0, 113, 401, 174, 0, 42.
0011011011	PW	Porter, H. C., Mr.	2, 0, −174, −401, 42.
0011011012	PW	Morris, William H., Mr., Jr.	Public welfare/social security, 2, −338, 0, 209.
0011011013	PW	Hunter, R. K., Mr. Sr	Public welfare/social security, 2, −338, 0, 209.
0011011014	PW	Boni, Frederick, Mr	Taxes/exemptions, 2, −338, 0, 209.
0011011015	PW	Corban, Bob, Mr	2, 0, 328.
0011051001	BH	National Live Stock	258.
0011051002	BH	Wilkinson, Donald E., Mr	258.
0011051003	BH	Fowler, Doss, Mr	23.

OFFICE MANAGEMENT WEEKLY REPORT

Frequency of items

FREQUENCY COUNT	ITEM NUMBER	TOPIC OF THIS ITEM	SUBTOPIC OF THIS ITEM
1,369	1,299	Jud sys-crime	Pro Mcclure bill.
706	311	Intro	
642	3010	ZACADEMY	ZNAVAL.
512	2344	Education	Student aid.
485	964	Gen acknow	Thoughtful presentation.
467	2209		Hobbs act.
287	2998	Econ-bus-finan	Deductability of interest.
246	1888	Intl relations	Nuclear freeze.
231	839	Education	Education department.
181	2888	Taxes	Safe harbor leasing provisions.
136	1287	Econ-bus-finan	Excise taxes.
135	2815	Education	Con ed budget cuts.
110	2807	Econ-bus-finan	Modified coinsurance.
72	3056	Steel	Steel import resolution.
66	654	ZCONINIT	
63	611	ZAGENCY REFERRAL	
28	1285	Employment	Ceta.
27	535	UCONSTACKNOLWLEDGEMENT	YFINAL.
22	219	Gen acknow	Acknowledgment.
16	3077	ZIMMIG	ZVISAS.
14	507	YAGENCYBUCK	YREPLYREQUESTED.
14	531	YCONSTACKNOLWLEDGEMENT	YCONTACTEDAGENCY.
14	561	YCONSTACKNOWLEDGEMENT	YINTERIM.
11	656	ZCONST LET	
9	589	ZACAD	ZACK SUP.
9	620	ZCONST	ZFINAL.

OFFICE MANAGEMENT WEEKLY REPORT

Frequency of Items
Sorted By Topic

FREQUENCY COUNT	ITEM NUMBER	TOPIC OF THIS ITEM	SUBTOPIC OF THIS ITEM
467	2209		Hobbs act.
1	3009	YAGENCY BUCK	
8	504	YAGENCY BUCK	YREPLY REQUESTED.
2	506	YAGENCY BUCK	YREPLY REQUESTED.
14	507	YAGENCY BUCK	YREPLY REQUESTED.
2	508	YAGENCY BUCK	YSUPPORT.
5	709	YAGENCY BUCK	YREPLY REQUESTED.
7	710	YAGENCY BUCK	YREPLY REQUESTED.
4	711	YCONSTACKNOW	YAWAITINGRESPONSE.
4	712	YCONSTACKNOW	YAWAITINGRESPONSE.
1	927	YCONSTACKNOW	YFAVORABLE.
1	528	YCONSTACKNOWLEDGEMENT	YUNFAVORABLE.
14	531	YCONSTACKNOWLEDGEMENT	YCONTACTEDAGENCY.
4	533	YCONSTACKNOWLEDGEMENT	YINTERIM.
27	535	YCONSTACKNOWLEDGEMENT	YFINAL.
2	547	YCONSTACKNOWLEDGEMENT	YAGENCYCONTACTED.
1	553	YCONSTACKNOWLEDGEMENT	YUNFAVORABLE.
2	556	YCONSTACKNOWLEDGEMENT	YEMPLOYMENT.
4	559	YCONSTACKNOWLEDGEMENT	YWATITINGRESPONSE.
14	561	YCONSTACKNOWLEDGEMENT	YINTERIM.
7	563	YCONSTACKNOWLEDGEMENT	YFINAL.
5	579	Z GEN ACK	Z FUR INQ.
2	580	Z PRIACT	ZADD INF.
1	584	ZACAD	ZMIL.
9	589	ZACAD	ZACK SUP.

OFFICE MANAGEMENT WEEKLY REPORT

Operator Entries

Operator	Number		Letters per hour	Number		Number addr	Addr per hr	Number cases			Total entries
	Group composed	Single composed		Data entry	Entries per hour			Letters	Data entries	Entries per hour	
01	0	0	0	0	0	0	0	0	0	0	0
02	0	0	0	0	0	0	0	0	0	.00	0
04	321	0	3,140.21	0	0	31	28.91	244	3	73.62	599
05	0	0	0	0	0	318	101.84	0	0	0	318
07	0	0	0	0	0	0	0	0	0	0	0
08	0	0	0	0	0	0	0	0	0	0	0
09	782	0	1,513.54	0	0	0	0	0	0	0	782
11	0	0	0	0	0	1,275	72.14	0	0	0	1,275
12	0	0	0	0	0	0	0	204	1	51.10	205
14	337	0	1,270.36	0	0	5	31.85	140	2	113.85	484
22	0	0	0	0	0	174	102.53	0	0	0	174
23	0	0	0	0	0	232	63.92	0	0	0	232
27	0	0	0	0	0	0	0	0	0	0	0
33	3,115	0	1,342.51	0	0	1,085	85.78	0	0	0	4,200
44	1,579	126	252.83	0	0	972	116.39	0	0	0	2,677
66	0	0	0	0	0	0	0	0	0	0	0
67	0	0	0	0	0	0	0	0	0	0	0
80	0	0	0	0	0	0	0	0	0	0	0
88	0	0	0	0	0	35	59.82	0	0	0	35
Total	6,134	126	628.26	0	0	4,127	84.33	588	6	68.96	10,981

TICKLER REPORT

The following items, sorted in order of the due date you assigned, are listed as pending cases. Please report any closed or incorrect items to the Correspondence Management System Specialist.

DOCUMENT NUMBER	CONSTITUENT OR OTHER PARTY	DATE ENTERED	DUE DATE FOR REPLY	REFERRED TO	SUBJECT OF REFERRAL
2078051016	Ravel, Francis, Mr	MAR-19-82	APR-19-82	DOJ	Anti-trust.
2097221023	Reiniger, Lewis D., Mr	APR-07-82	MAY-07-82	USTR.Commerce	Flower trade.
2125091042	Little, W. F. Mrs	MAY-05-82	JUN-01-82	DOD	Recruiting.
2125091041	Bardo, Holli, Ms	MAY-05-82	JUN-02-82	White House	Press leaks.
2146441042	Klipstein, Donald L., Mr	MAY-26-82	JUN-27-82	VP Task Force	Reg Reform.
2158441119	Bell, Robert H., Mr	JUN-07-82	JUL-01-82	Metro	Steel rail.
2158441144	Csink, Rudolf, Mr	JUN-07-82	JUL-07-82	GAO	Bid.
2181441134	Best, Raymond M., Mr	JUN-30-82	JUL-20-82	DOD	Set aside policies.
2181441145	Conor, Bernard E., Mr	JUN-30-82	JUL-20-82	USTR	Japanese balls.
2228441005	Cahill, Linda, Mrs	AUG-16-82	SEP-16-82	DOD	Women-army.
2228441001	Constantine, Eugene, Mr	AUG-16-82	SEP-16-82	USTR	Eggs.
2228441006	Harkins, Edward J., Mr	AUG-16-82	SEP-16-82	DOE	Nat. gas.
2228441004	King, William F., Mr, Jr.	AUG-16-82	SEP-16-82	DOD	F-16.
2228441007	Moore, Richard H., Mr	AUG-16-82	SEP-16-82	Commerce	Steel.
2228441002	Richards, Richard, Mr	AUG-16-82	SEP-16-82	DLA	Procurement.
2228441008	Spiegel, Harvey B., Mr	AUG-16-82	SEP-16-82	IRS	FICA.
2228441003	Steinpres, Jerry, Mr	AUG-16-82	SEP-16-82	USTR	Poultry.

OFFICE MANAGEMENT WEEKLY REPORT

TICKLER MANAGEMENT STATUS

AIDE	NEW TICKLERS THIS WEEK	PENDING OPEN TICKLERS	TICKLERS CLOSED THIS WEEK	MEAN LIFE (DAYS) OF PENDING TICKLERS	MEAN LIFE (DAYS) OF CLOSED TICKLERS
BR	0	6	0	130	0
CJL	1	1	0	3	0
CL	0	1	0	11	0
DT	0	2	0	178	0
GS	0	17	0	81	0
PB	0	57	0	129	0
SB	7	20	1	93	28
SP	0	1	0	335	0
Total/averages	8	105	1	115	28

OFFICE MANAGEMENT WEEKLY REPORT

Topic Breakdown

	COUNT OF TIMES USED	PERCENT OF ALL TOPICS/SUBTOPICS USED THIS PERIOD
10 Most Freq. Used Substantive Topics		
1. JUD SYS-CRIME	2,037	20.22
2. ZCounty	1,301	12.91
3. Education	924	9.17
4. Labor	739	7.33
5. Zacad	661	6.56
6. Zacademy	642	6.37
7. Gen Acknow	559	5.55
8. Jud Sys—Crime	536	5.32
9. Econ-Bus-Finan	535	5.31
10. Government	478	4.74
Total of 10 Topics	8,412	83.49
Total substantive topics used	10,076	
11 Most Freq. Used Substantive Subtopics		
1. Pro McClure bill	1,369	13.88
2. Baft	699	7.08
3. ZNavapp	642	6.51
4. ZNaval	642	6.51
5. ZClosed	642	6.51
6. Pro McClure bill—S. 1030	536	5.43
7. Student aid	512	5.19
8. Thoughtful presentation	485	4.92
9. Union violence	467	4.73
10. NEG funding	395	4.00
11. Zinre	382	3.87
Total of 11 subtopics	7,095	80.03
Total substantive subtopics used	9,866	

OFFICE MANAGEMENT QUARTERLY REPORT

Unused Items

AIDE	ITEM	TOPIC OF THIS ITEM	SUBTOPIC OF THIS ITEM
ACO	692	Case referral	No jurisdiction.
	695	Case referral	No jurisdiction.
	696	Case referral	No jurisdiction.
	698	Case referral	No jurisdiction.
	699	Case open	Info needed.
	700	Case open	FOI Act request.
	1009	PA	Thank you from Sen.
ALM	680	Project buck	Agency contact neutral.
	709	Project	Agency inquiry neutral.
AWG	707	Case close	Agency response favorable.
CN	459	Transportation	Safety.
	460	Energy	Gasoline.
	472	Energy	Gasoline.
	492	Energy	General.
	493	Energy	Oil.
	503	Energy	Oil.
	514	Energy	Carter proposal—con.
	517	Energy	Oil.
	528	Energy	Conservation.
	529	Energy	Transportation.
	539	Energy	Conservation.
	545	Energy	General.
	572	Energy	Decontrol.
	574	Energy	Conservation.
	599	Energy	Gasoline.

WEEKLY HISTORY REPORT

Sorted By Aide's Initials

DOCUMENT NUMBER	AIDE'S INITIALS	CONSTITUENT NAME	TOPICS DISCUSSED IN LETTER (REFER TO CATALOG)
SEP-14-82			
2257441001	SB	Anderson, J., Mr.	Intl relations/Lebanon, 203.
2257441002	SB	Parker, Elizabeth, Mrs.	Government/von Steuben, 203.
2257441003	SB	Stoudt, Harold, Mr. and Mrs.	Government/von Steuben, 203.
2257441004	SB	Mason, Paul Bailey, Mr.	Government/von Steuben, 203.
2257441005	SB	Kildare, Harrison G., Mr.	Health/medicare, 203.
2257441006	SB	Lauer, Stewart E., Mr. and Mrs	2822.
2257441007	SB	Sauder, Timothy G., Mr.	Health/abortion, 219.
2257441008	SB	Lund, Mile, Mr.	Environment/safe water, 311, 45.
2257441009	SB	Mueller, Carol J., Ms.	Health/redo, 2939.
2257441010	SB	Yaworsky, John S., Mr.	Intl relations/redo, 964.
2257441011	SB	Coshorl, Louis M., Mr.	Environment/redo, 217.
2257441012	SB	Butler, Daniel N., Mr.	Intl relations/redo, 213.
2257441013	SB	Zinman, Philip N., Mr.	Intl relations/redo, 318, 0, 45.
2257441014	SB	Steytler. Anne W., Ms.	Intl relations/redo, 171.
2257441022	SB	Rhoads, Jonathan E., M.D.	2824.
SEP-15-82:			
2258441001	SB	Parker, Ellen, Ms.	2703.
2258441002	SB	Hottinger, Janis Lyn, Ms.	2703.
2258441003	SB	Foster-Forbes Glass Company	Environment/soda ash, 964.
2258441004	SB	Marino, Vincent L., Mr.	Environment/acid rain, 217.
2258441005	SB	O'Hara, Robert D., Mr.	Environment/acid rain, 217.
2258441006	SB	Gregas, Norman P., Mr.	Environment/clean water, 217.
2258441007	SB	Cawthern, Robert D., Mr.	Environment/clean water, 217.
2258441008	SB	Knohr, Joseph, Mr.	Environment/clean water, 217.
2258441009	SB	Wagner, Ronald D., Mr.	Environment/clean water, 217.

WEEKLY HISTORY REPORT

Sorted By Constituent

CONSTITUENT NAME	DOCUMENT NUMBER	AIDE'S INITIALS	TOPICS DISCUSSED IN LETTER (REFER TO CATALOG)
Hintz, Raymond V., Mr., Jr.	2260444496	GS	-1287.
Hipner, E. M., Mr.	2260443038	PB	839.
Hippensteel, Walter, Mr.	2257093453	COL	Jud sys-crime/pro McClure bill—S. 1030, 1299.
Hitt, J., Mr.	2260334177	PB	Government/neh funding, 964.
Hittinger, Wayne, Mr.	2257093763	CUL	Jud sys-crime/pro McClure bill—S. 1030, 1299.
Hively, Eugene E., Mr.	2257093483	CUL	Jud sys-crime/pro McClure bill—S. 1030, 1299.
Hixon, L. E., Mrs.	2260333807	PB	Labor/union violence, 2209.
Hixson, Jeffrey T., Mr.	2232140001	ZLW	ZACAD/ZNAVAPP, 3010.
Hixson, Jeffrey T., Mr.	2232140001	ZLW	ZACAD/ZNAVAPP, 3010.
Hixson, Roy, Mr.	2260443637	PB	Jud sys-crime/baft, 311, 0.
Hixson, Roy, Mr.	2260443637	PB	Jud sys-crime/baft, 311, 0.
Hizray, Dorothy, Ms.	2260443542	PB	2344.
Hnatko, Robert, Mrs.	2260333192	PB	2344.
Hoag, Earl A., Mr.	2260334460	PB	Jud-sys-crime/baft, 311.0.
Hoag, Earl A., Mr.	2260333777	PB	Labor/union violence, 2209.
Hoag, Earl A., Mr.	2260333905	PB	Government/neh funding, 964.
Hoban Robert C., Mr.	2260333941	PB	Government/neh funding, 964.
Hobbs, Howard, Mr.	2260334382	PB	Jud-sys-crime/baft, 311, 0.
Hobdey, Ralph H., Mr.	2260334790	GS	2998.
Hodge, John, Reverend	2258333074	PB	Government/federal funds to liberal groups, 964.
Hodsoll, Frank S. M., Chairman	2257120004	YLL	YCAMBRIA/YGRANTS, 504, 0, 710.
Hoefer, Robert J., Mr.	2260334605	GS	2807.
Hoeller, Mary, Ms.	2260444422	GS	-1888.
Hoezee, Ross A., Mr.	2260334907	GS	2998.
Hoffer, Robert C., Mr.	2257333346	CUL	1299.
Hoffman, David C., Mr.	2260334921	GS	2998.
Hoffman, Edward F., Mr.	2260333710	PB	Labor/union violence, 2209.
Hoffman, Jeff, Mr.	2260444155	GS	2888.

LIBRARY ITEM ENCYCLOPEDIA *(Selected Samples)*

ITEM #: 10 ( )

fi P.O. name, has intro—closing of P.O., S.3082

TOP/SUBTOPIC (1): postal service/general
TYPE OF DOC.: issue
CREATE DATE: JAN-07-82
UPDATE DATE: JAN-07-82
AIDE: MJM PCD: RT

Thank you for your recent letter concerning the closing of the $$insert name of post office$$ Post Office.

Under the Postal Reorganization Act, the Postal Service is an independent agency free from government control. However, I am concerned about the financial dilemma of the Postal Service and many of the small post offices in our state. Because of this, I am co/sponsoring with Senator Smith S.3082, a bill which would require the Postal Service to conduct a public hearing and to allow patrons to present their views before any decision is made to close a post office.

ITEM #: 16 ( )

support local rent control, I agree completely

TOP/SUBTOPIC (1): housing/rent control
TYPE OF DOC.: issue
CREATE DATE: JAN-07-82
UPDATE DATE: JAN-07-82
AIDE: MJM PCD: UM

I agree with you completely that rent control offers immediate protection against the rapidly rising rent costs, particularly to those on fixed incomes. However, I feel Federal control may only create more Federal bureaucracy and may not properly meet the individual's needs.

Therefore, where rent control is concerned, I feel it is the responsibility of the local government rather than the Federal government. I suggest you discuss this matter with your local representative. I do feel senior citizens and others on fixed incomes need assistance from the Federal government in meeting their housing needs. I assure you, I will support any legislation in this area.

ITEM #: 22 ( )

apprec. learning concern about solid waste management

TOP/SUBTOPIC (1): environment/solid waste
TYPE OF DOC.: issue
CREATE DATE: JAN-07-82
UPDATE DATE: JAN-07-82
AIDE: MJM PCD: QH

Your concern about our Nation's resources is most understandable. Most assuredly, I do not condone the useless waste of our precious resources. However, we must look at the entire problem of solid waste management before we attempt to modify our environmental laws.

ITEM #: 49 ( )

wl—continue to make laws more equitable

TOP/SUBTOPIC (1): taxes/reform
TYPE OF DOC.: issue
CREATE DATE: JAN-07-82
UPDATE DATE: JAN-07-82
AIDE: MJM PCD: KD

Thank you for your recent letter concerning tax laws.

The present federal income tax system certainly deserves close scrutiny. There is no doubt that the tax laws can be improved in a number of respects. It is unfair for some Americans to make hundreds of thousands of dollars and pay little or nothing in income tax while most Americans of moderate means bear a heavy financial burden. Also, tax forms should not be so complex that a specialist must be hired by the average taxpayer.

Throughout my years of public service I have worked hard to bring about a more equitable income tax system. I have helped to enact a number of improvements, but, as we both know, there is much more to be done. You can be assured that I will continue my efforts to make the tax laws more equitable.

Again, thank you for writing. Be assured that I will keep your views in mind when legislation concerning this matter comes before the Senate floor.

PRESS ABSTRACT REPORT

Sorted By Item

TOPIC	SUBTOPIC	ITEM NUMBER	SYNOPSIS	CREATED
Health	Alcohol abuse	2	Can't ignore drinking or drugged driving problems	AUG-05-82
Education	Bilingual education	3	Utah woman named advisor on bilingual education	JUL-23-82
Health	Community health center	4	Hatch gets dollars for SLC Indian health center	JUL-23-82
Health	Hospital payments	5	Hatch fixes medicare payments to hospitals	JUL-23-82
Health	Health planning	6	Hatch health planning bill gives States authority	JUL-09-82
Health	Home health care	7	Speech to American nurses association convention	JUN-30-82
Women	History week	8	Women's history week res reintroduced	JUL-16-82
Labor	Flexitime	9	Temporary flexitime extension passes; Hatch works for more	MAR-24-82
Labor	Human rights	10	Hatch urges deadline for Soviet human rights compliance	MAR-23-82
Health	Home health care	11	Hatch statement, favorable report filed on S. 234	MAR-23-82
Labor	Human rights	12	Helsinki Commission hrng on Madrid mtgs. Hatch statement	MAR-23-82
Health	Radiation	13	Hatch statement at hearing on radiation compensation	MAR-12-82
Health	Radiation	14	Hearing set. Hatch optimistic on radiation compensation	FEB-17-82
Appointment	National science board	15	Utah scientist appointed to National Science Board	FEB-03-82
Health	Home health care	16	Hatch takes home health care cause to Senate floor	MAR-24-82
Handicapped	Developmental disabilities	17	Honored as advocate for handicapped. Hatch pledges continued	MAR-30-82
Health	Biomedical research	18	Statement at NIH reauthorization hearings	MAR-31-82
Health	Competition	19	Hatch supports increased health competition	APR-16-82
Health	Home health care	20	Utah senior citizens would benefit from home health care	APR-19-82
Health	Home health care	21	HHS switch on home health care rules compassionate. Hatch says	MAY-06-82
Health	Alcohol abuse	22	Amendment increases funding for alcohol and drug abuse research	MAY-06-82
Education	Vocational education	23	Assuring instructional quality: the Federal imperative	JUN-18-82
Health	Health costs	24	Changing perspectives on America's health system	JUN-28-82
Handicapped	Education	25	Education for the handicapped receives increased fiscal year 83 funds	JUN-18-82
Health	Competition	26	Speech: health care competition and the year ahead	JAN-13-82
Health	Hazardous substances	27	Bill afb toxic chemical probe progresses. Hatch reports	FEB-16-82
Health	Radiation	28	Hearing set, Hatch optimistic on radiation compensation	FEB-17-82
Health	Family planning	29	New contraceptive regulations good news for families	FEB-19-82

PRESS ABSTRACT REPORT

Sorted By Topic

TOPIC	SUBTOPIC	ITEM NUMBER	SYNOPSIS	CREATED
Human resources	Volunteerism	201	Reauthorization of Domestic Volunteer Services Act	APR-04-81
Human services	Adoption	590	Adoption anti-fraud and tax-break bills on agenda	FEB-10-84
Human services	Volunteers	683	Congress sends bill renewing action volunteer agency to pres	MAY-08-84
Investigations	Boilermakers	454	Intent to issue subpoenas for investigation	JUL-20-83
Jackson	Goodman	567	Hatch commends Jackson's efforts, Goodman's return	JAN-03-84
Judiciary	Bildisco	648	Bildisco: Rejection of union contracts in bankruptcy reorga	APR-10-84
Judiciary	Legal services	633	Hearing on nominations to the LSC board of directors	APR-25-84
Judiciary	ISC	651	Hearing on financial irregularities, grantee defunding and p	APR-11-84
Judiciary	Pharmacy robberies	154	Hatch cosponsors legislation to deter pharmacy crime	SEP-30-82
Labor	ERISA	510	Speech to NFIB	JUN-20-83
Labor	Black lung	263	Hearing on black lung benefit and revenue amendments	DEC-14-81
Labor	Black lung	266	Congress approves Hatch bill to rescue black lung fund—ut	DEC-15-81
Labor	Black lung	267	Senate approves Hatch bill to rescue black lung fund	DEC-16-81
Labor	Black lung	282	Hatch's committee recommends money, solution to black lung	DEC-07-82
Labor	Boilermakers	535	Hatch wins committee approval for probe into boilermakers'	OCT-28-83
Labor	Boilermakers	536	Hearing overseeing the boilermakers union	OCT-25-83
Labor	Boilermakers	537	Request for subpoena authority of the boilermakers union	OCT-25-83
Labor	Boilermakers	543	Resolution on boilermakers union	OCT-25-83
Labor	Boilermakers	562	Hearing on boilermakers	AUG-02-83
Labor	Boilermakers	607	Opening statement hearing overseeing boilermakers	JUN-29-83
Labor	Boilermakers	705	Hearing into allegations of union hiring hall corruption in	JUN-19-84
Labor	Boilermakers	706	Allegations of hiring hall corruption in the boilermakers	JUN-20-84
Labor	Committee staff	147	Bountiful woman works for Senate committee in Washington	AUG-30-82
Labor	Committee staff	226	Labor Dept. official appointed chief counsel to Senate labor	JUL-16-81
Labor	Committee staff	298	Hatch appoints Dr. Ronald Docksai staff director of labor comm	DEC-22-82
Labor	Davis-Bacon	118	Task force report calls Davis-Bacon inflationary	MAR-18-81
Labor	Davis-Bacon	124	Statement, Davis-Bacon oversight hearing	APR-28-81
Labor	Davis-Bacon	125	Statement, second Davis-Bacon oversight hearing	APR-29-81
Labor	Discrimination	59	Hatch asks new commitment against job discrimination	APR-28-82

CLIPPING ABSTRACT REPORT

Sorted By Topic

TOPIC	SUBTOPIC	CLIPPING	HEADLINE	CLIPPING DATE
No topic present		2201		APR-12-84
Do		6927	Jaffe's jail release may hinge on letter of credit from location	OCT-11-83
Do		5468	Holidays express a need for heroes	OCT-09-83
Do		185	Misguided moralists	JAN-31-83
Do		3929	Miami Cuban gifts help political fund cover all bases	MAY-29-84
Do		3376	Gov. Bob Graham in Miami	MAY-05-84
Do		3831	House, Senate OK cost control, indigent-care fund for hospital	MAY-11-84
Do		3763	DEA agents seek pilot of drug aircraft	MAY-03-84
Do		3264	For Hawkins abuse stories end less	MAY-07-84
Do		3297	Group: Hawkins will ask for transfer of Bosnake	MAY-10-84
Do		3518	VOA: Milian didn't want Marti post	MAY-23-84
Do		3543	Fight against child abuse must continue	MAY-25-84
Do		3540	Stop the coverup	MAY-24-84
Do		3295	Hawkins aide appears in Gainesville today	MAY-10-84
Do		2389	Alert the Keys	MAR-30-84
Do		2541	Drug boss say he paid in Bahamas	APR-08-84
Do		2506	Iraq leaning to nerve gas, U.S. says	APR-06-84
Do		2504	Cash-Ladon agency finds little to do, may face State ax	APR-06-84
Do		0756	Takes more concrete shape	AUG-19-81
Do		9876	Some temptations need to be avoided	DEC-26-83
Do		0062	A little heart needs a lot of money	JAN-12-84
Do		7684	Cancer research grant is criticized	JUN-03-81
Do		8751	Reagan to meet the press	JAN-29-81
Do		7303	British are coming and most welcome	JAN-14-81
Do	Editorial	6061	A clear choice	NOV-14-83
Do	D. Bruns	4622	Jaffe arrest triggers international uproar	AUG-08-83
Citrus crop	Apand UPI	7296	Citrus industry expects shipping embargo today	JAN-15-81
Clip	Editorial	6195	Lottery of death	NOV-25-83

DEFINITE AND POSSIBLE DUPLICATES REPORT

MSUROO4 08.56	DEFINITE AND POSSIBLE DUPLICATES			09/23/80
Jackson, Mary	77.2		DDADBD	000000000
Ms. Mary Jackson	6002 Main Street	Anytown, MD 21093.		
Jackson, Mary	78		FA	000000000
Mary Jackson	6002 Main Street	Anytown, MD 21093.		
Jones, Harry	81		ABACADAEAFAGAHAIAJAKA LAM.	000000000
Mr. Harry Jones	Suite A	400 North Drive	Anytown, MD 21093.	
Jones, Harry	83		FAAASXVVZZHHOL WEKLKKGHDDGGKGGB.	000000000
Harry Jones	12 East Street	Anytown, MD 21093.		
Jones, Harry	81		ABACADAEAFAGAHAIAJAKA LAM.	000000000
Mr. Harry Jones	Suite A	400 North Drive	Anytown, MD 21093.	
Jones, Harry J	84		XXYYZZADSZABACAEAFAGA HAIAJAKAL.	000000000

UPDATES REPORT

MSUROOZ O8.51	UPDATES FOR		FILE-MINI	11/17/82
Mcsorley, Richard	143.8643 ADD		KK	000000000
Richard Mcsorley	1 N St	Anytown 20510.		
Mctigue, John	143.8644 ADD		KK	000000000
John Mctigue	1 K St	Anytown 20510.		
Means, Lillian	143.8645 ADD		KK	000000000
Lillian Means	6 Franklin	Anytown 20510.		
Mears, Josephine L	143.8646 ADD		KK	000000000
Josephine L. Mears	1 4th St	Anytown 20510.		
Mebane, Amelia C	143.8647 ADD		KK	000000000
Amelia C. Mebane	6 14th St	Anytown 20510.		
Mebane, Crystal R	143.8648 ADD		KK	000000000
Crystal R. Mebane	1 Fairmont St	Anytown 20510.		

04-07-86 INDEX FILE OF VETERANS AFFAIRS COMMITTEE DOCUMENT REPORT PAGE 249
DOCUMENT NO. MICROFILM NO.

ASSOCIATED STUDENTS OF
ARIZONA STATE UNIVERSITY
(ADDRESS)
LTC
ISSUE
DEFENSE
OPENING
05-21-82
NUCLEAR FREEZE
2139011004
ITEMS: -1, 141, 3

ATCHISON, ED. MR.
(ADDRESS)
WEB
ISSUE
OPENING
READJUSTMENT
03-23-81
VET CENTERS
1079011006
ITEMS: 1, 42, 2

ATCHISON, EDWARD M., MR.
(ADDRESS)
TEH
ISSUE
GENERAL RESPONSE
10-15-81
GENERAL
1293012008
OPERATION PIGGYBACK

ATKINS, DAN V., MR.
(ADDRESS)
JLP
ISSUE
BUDGET
EDUCATION
04-27-81
FY 1982
CORRESPONDENCE TRAINING
FLIGHT TRAINING
1114013063
ITEMS: 1, 77, 3
OPENING

ATKINS, JIM, COMMANDER
(ADDRESS)
MS/
ISSUE
COMPENSATION
01-24-80
C.O.L.
0351092031

ATOR, SUSAN M., MRS.
(ADDRESS)
TEH
ISSUE
DEFENSE
09-02-82
AIR FORCE
2251012006

ATOR, SUSAN M., MRS.
(ADDRESS)
TEH
ISSUE
AIR FORCE, DEPARTMENT OF
09-08-82
GENERAL
2265012019
F. E. WARREN

ATTERBURY, RICH., MR.
(ADDRESS)
LVS
ISSUE
DEFENSE
08-18-82
NUCLEAR FREEZE
2228013010
ITEMS: 141

ATWOOD, CLAYTON W., COMMANDER
(ADDRESS) EX-POW
LTC
ISSUE
POW
06-24-81
GENERAL
LEGISLATION
1173013110
ITEMS: 86

AUGUSTA, ROBERT, MR. AND MRS.
(ADDRESS)
WEB
ISSUE
BUDGET
OPENING
04-10-81
FY 1982 HEALTH
1098011006
ITEMS: 1, 44, 3

AUST, VIDA F., MS.
(ADDRESS)
HSW
ISSUE
JUDICIAL REVIEW
10-06-82
GENERAL
2277011005

OFFICE MANAGEMENT ANNUAL REPORT FOR 1982
VETERANS AFFAIRS COMMITTEE

ITEM STATISTICS

ITEM NUMBER	FREQUENCY COUNT	NUMBER MODIFIED	% MODIFIED
114	516	37	7.17
141	130	32	24.62
3	125	2	1.60
1	122	9	7.38
0	117	0	0.00
32	94	29	30.85
104	87	23	26.44
133	78	3	3.85
41	75	3	4.00
33	73	13	17.81
92	57	17	29.82
147	57	4	7.02
80	55	4	7.27
94	54	43	79.63
100	44	15	34.09
51	35	20	57.14
146	31	0	0.00
14	27	17	62.96
64	26	3	11.54
67	26	4	15.38
131	24	11	45.83
140	22	2	9.09
129	21	3	14.29
139	19	0	0.00
13	18	16	88.89
142	18	0	0.00
65	14	3	21.43
102	14	0	0.00
81	13	3	23.08
136	13	2	15.38
144	12	1	8.33
4	11	3	27.27
21	10	2	20.00
103	10	6	60.00
148	9	0	0.00
10	8	0	0.00
57	8	2	25.00
132	8	5	62.50
71	7	1	14.29
101	7	4	57.14
109	7	0	0.00
108	6	1	16.67
110	6	1	16.67
113	6	2	33.33
126	6	5	83.33
130	6	3	50.00
134	6	4	66.67
24	5	1	20.00
60	5	2	40.00
123	5	3	60.00
128	5	1	20.00
40	4	0	0.00
56	4	0	0.00
107	4	0	0.00
119	4	0	0.00
59	3	0	0.00
66	3	0	0.00
99	3	2	66.67
125	3	3	100.00
127	3	0	0.00
5	2	1	50.00
12	2	2	100.00
50	2	1	50.00
135	2	2	100.00
138	2	0	0.00
2	1	0	0.00
11	1	0	0.00
15	1	1	100.00
22	1	0	0.00
23	1	1	100.00
25	1	0	0.00
39	1	0	0.00
49	1	1	100.00
54	1	1	100.00
61	1	0	0.00
62	1	0	0.00
63	1	1	100.00
68	1	0	0.00
86	1	1	100.00
95	1	1	100.00
117	1	0	0.00
120	1	0	0.00
TOTAL ITEMS	2216	383	17.28
TOTAL LETTERS	1803		

OFFICE MANAGEMENT ANNUAL REPORT FOR 1982
VETERANS AFFAIRS COMMITTEE

ITEM STATISTICS BY MONTH
MONTHLY FREQUENCY COUNTS

ITEM NUMBER	JAN	FEB	MARCH	APRIL	MAY	JUNE	JULY	AUGUST	SEPT	OCT	NOV	DEC	TOTAL COUNT
0	5	9	3	86	4	6	2	1	1	0	0	0	117
1	7	10	2	10	34	51	1	2	3	1	0	1	122
2	1	0	0	0	0	0	0	0	0	0	0	0	1
3	4	10	2	7	35	50	0	2	3	10	0	2	125
4	5	1	0	1	1	0	0	0	2	1	0	0	11
5	0	1	0	0	0	1	0	0	0	0	0	0	2
10	0	3	1	1	0	1	1	0	0	1	0	0	8
11	1	0	0	0	0	0	0	0	0	0	0	0	1
12	0	0	1	1	0	0	0	0	0	0	0	0	2
13	6	9	0	3	0	0	0	0	0	0	0	0	18
14	3	1	4	3	1	0	1	1	10	0	2	1	27
15	0	0	0	0	0	0	0	0	0	1	0	0	1
21	1	0	0	0	0	0	0	0	0	7	1	1	10
22	1	0	0	0	0	0	0	0	0	0	0	0	1
23	0	0	0	0	0	0	0	0	0	0	1	0	1
24	0	2	0	0	0	2	0	1	0	0	0	0	5
25	0	0	0	0	0	0	0	1	0	0	0	0	1
32	6	5	7	10	6	8	6	9	11	5	14	7	94
33	8	4	9	10	7	5	9	1	8	2	4	6	73
39	0	0	1	0	0	0	0	0	0	0	0	0	1
40	0	3	0	0	0	0	0	0	0	1	0	0	4
41	15	8	8	3	1	4	10	3	15	0	6	2	75
49	0	0	0	0	0	0	0	0	1	0	0	0	1
50	0	0	0	0	0	0	0	0	0	2	0	0	2
51	4	2	4	5	2	7	3	2	1	0	3	2	35
54	0	0	0	0	0	0	0	0	0	0	1	0	1
56	0	1	0	2	0	0	0	0	0	1	0	0	4
57	1	1	0	1	1	1	1	0	0	0	1	1	8
59	0	0	0	2	1	0	0	0	0	0	0	0	3
60	0	0	2	1	1	0	1	0	0	0	0	0	5
61	0	0	0	0	0	0	0	0	0	0	1	0	1
62	1	0	0	0	0	0	0	0	0	0	0	0	1
63	0	0	0	0	1	0	0	0	0	0	0	0	1
64	1	5	1	1	5	3	2	2	1	0	2	3	26
65	1	4	0	1	1	1	3	1	1	1	0	0	14
66	0	0	0	2	0	0	1	0	0	0	0	0	3
67	3	2	5	6	2	2	1	0	2	0	2	1	26
68	0	0	0	1	0	0	0	0	0	0	0	0	1
71	1	0	0	0	0	0	0	0	3	3	0	0	7
80	5	2	7	9	6	8	6	5	3	1	2	1	55
81	1	6	0	1	1	0	2	1	1	0	0	0	13
86	0	0	1	0	0	0	0	0	0	0	0	0	1
92	2	2	2	10	6	9	3	10	3	3	3	4	57
94	1	1	49	3	0	0	0	0	0	0	0	0	54
95	0	0	1	0	0	0	0	0	0	0	0	0	1
99	1	0	0	0	0	1	0	0	1	0	0	0	3
100	8	2	7	10	0	4	6	4	1	0	2	0	44
101	39	3	0	0	0	1	0	0	0	0	0	0	7
102	5	0	0	7	0	1	0	0	0	0	0	1	14
103	1	2	2	0	0	2	1	0	0	0	0	2	10
104	19	4	3	46	5	1	0	0	0	9	0	0	87
107	0	0	0	1	0	3	0	0	0	0	0	0	4
108	0	0	0	1	1	1	0	0	2	0	0	1	6

(Continued on next page)

OFFICE MANAGEMENT ANNUAL REPORT FOR 1982
VETERANS AFFAIRS COMMITTEE

ITEM STATISTICS BY MONTH
MONTHLY FREQUENCY COUNTS

ITEM NUMBER	JAN	FEB	MARCH	APRIL	MAY	JUNE	JULY	AUGUST	SEPT	OCT	NOV	DEC	TOTAL COUNT
109	1	1	0	0	2	0	0	0	2	1	0	0	7
110	3	0	0	0	0	0	0	0	1	2	0	0	6
113	0	2	3	1	0	0	0	0	0	0	0	0	6
114	17	1	123	293	32	2	0	40	5	1	0	2	516
117	1	0	0	0	0	0	0	0	0	0	0	0	1
119	0	0	0	0	0	0	0	0	3	0	1	0	4
120	0	0	1	0	0	0	0	0	0	0	0	0	1
123	2	0	2	0	0	0	0	0	0	0	0	1	5
125	1	0	0	0	0	0	0	0	0	0	1	1	3
126	5	0	1	0	0	0	0	0	0	0	0	0	6
127	1	2	0	0	0	0	0	0	0	0	0	0	3
128	4	0	1	0	0	0	0	0	0	0	0	0	5
129	17	0	2	1	0	0	0	0	0	0	1	0	21
130	0	3	2	0	1	0	0	0	0	0	0	0	6
131	0	2	1	0	0	0	0	0	17	0	1	3	24
132	0	0	2	2	1	2	0	0	0	0	1	0	8
133	0	29	25	15	2	1	0	5	0	0	0	1	78
134	0	0	3	0	0	0	3	0	0	0	0	0	6
135	0	0	0	0	0	0	0	0	0	0	2	0	2
136	0	0	0	0	7	0	2	2	0	0	0	0	13
138	0	0	0	0	1	1	0	0	0	0	0	0	2
139	0	0	0	0	14	4	0	1	0	0	0	0	19
140	0	0	0	0	4	0	2	4	5	1	1	5	22
141	0	0	0	0	34	45	0	45	0	1	5	0	130
142	0	0	0	0	0	2	1	14	0	1	0	0	18
144	0	0	0	0	0	0	0	0	7	5	0	0	12
146	0	0	0	0	0	0	0	0	0	0	0	31	31
147	0	0	0	0	0	0	0	0	0	0	46	11	57
148	0	0	0	0	0	0	0	0	0	0	0	9	9
TOTAL	173	143	288	559	220	230	68	157	113	61	104	100	2216

*** 100TH CONGRESS ***
ALL

S.626 DATE INTRODUCED: 03/03/87

LAW NUMBER: PL100-55
EFFECTIVE: 06/19/87
CALENDAR NO: 75
U 84

SPONSOR: Bradley

S.REPT.100-32
H.REPT.100-136

REFERRED TO: House Interior and Insular Affairs
Senate Committee on Energy and Natural Resources
REPORTED BY: Senate Committee on Energy and Natural Resources
House Interior and Insular Affairs
COSPONSOR(S): CURRENT (13)
Lautenberg; Moynihan; D'Amato; Ford; Hecht; Dodd; Wirth; Metzenbaum; Johnston; Bingaman (A-03/11/87); Bumpers (A-03/11/87); Melcher (A-03/11/87); Weicker (A-03/11/87):

LATEST OFFICIAL TITLE:
OFFICIAL TITLE AS INTRODUCED AS OF 03/06/87:
A bill to prohibit the imposition of a fee at the Statue of Liberty National Monument, and for other purposes.
LEGISLATIVE ACTIONS:
Mar 3, 87 Read twice and referred to the Committee on Energy and Natural Resources.
Mar 3, 87 Referred to Subcommittee on Public Lands, National Parks.
Mar 5, 87 Committee on Energy and Natural Resources requested executive comment from Interior Department.
Mar 25, 87 Committee on Energy and Natural Resources. Ordered to be reported without amendment favorably.
Mar 31, 87 Committee on Energy and Natural Resources received executive comment from Interior Department. Unfavorable.
Apr 1, 87 Committee on Energy and Natural Resources. Reported to Senate by Senator Johnston without amendment. With written report No. 100-32.
Apr 1, 87 Placed on Senate Legislative Calendar under General Orders. Calendar No. 75.
Apr 7, 87 Measure laid before Senate by unanimous consent.
Apr 7, 87 Passed Senate without amendment by Voice Vote.
Apr 8, 87 Measure sent to the House.
Apr 8, 87 Referred to House Committee on Interior and Insular Affairs.
May 8, 87 Referred to Subcommittee on National Parks and Public Lands.
May 15, 87 Executive Comment Requested from Interior.
Jun 3, 87 Subcommittee on National Parks and Public Lands Discharged.
Jun 3, 87 Committee Consideration and Mark-up Session Held.
Jun 3, 87 Ordered to be Reported.
Jun 5, 87 Unfavorable Executive Comment Received From Interior.
Jun 8, 87 Reported to House by House Committee on Interior and Insular Affairs. Report No: 100-136.
Jun 8, 87 Placed on Union Calendar No: 84.
Jun 8, 87 Called up by House Under Suspension of Rules.
Jun 8, 87 Passed House by Voice Vote.
Jun 8, 87 Cleared for White House.
Jun 11, 87 Measure Signed in Senate.
Jun 11, 87 Presented to President.
Jun 19, 87 Signed by President.
Jun 19, 87 Became Public Law No: 100-55.
ABSTRACT:
Prohibits the imposition of an entrance fee at the Statue of Liberty National Monument.
DIGEST:
Prohibits the Secretary of the Interior from charging any entrance fee at the Statue of Liberty National Monument, New Jersey and New York.
INDEX TERMS:
MONUMENTS AND MEMORIALS/NATIONAL MONUMENTS--NEW YORK/CITY/USER CHARGES/ NATIONAL MONUMENTS--NEW JERSEY/NATIONAL MONUMENTS/STATUE OF LIBERTY - ELLIS ISLAND/ENTRANCE FEES/NEW JERSEY/NEW YORK/STATUE OF LIBERTY-ELLIS ISLAND/ MONUMENTS AND MEMORIALS/STATUE OF LIBERTY-ELLIS ISLAND (PL100-55)

DATE TRANSMITTED: 07/17/85

99-8 S.Rept.99-17
TREATY TYPE: EXTRADITION and Criminal Assistance
REFERRED TO: Senate Committee on Foreign Relations
REPORTED BY: Senate Committee on Foreign Relations
REPORTED BY: Lugar
SHORT TITLE(S):
SUPPLEMENTARY EXTRADITION TREATY WITH THE UNITED KINGDOM
FORMAL TITLE(S):
THE SUPPLEMENTARY EXTRADITION TREATY BETWEEN THE UNITED STATES OF AMERICA AND THE UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND, WITH ANNEX, SIGNED AT WASHINGTON ON JUNE 25, 1985.
LEGISLATIVE ACTIONS:
Jul 17, 85 Received in the Senate and referred to the Committee on Foreign Relations by unanimous consent.
Aug 1, 85 Committee on Foreign Relations. Date of scheduled hearings. SD- 419 10:00a.
Aug 1, 85 Committee on Foreign Relations. Hearings held.
Sep 18, 85 Committee on Foreign Relations. Date of scheduled hearings. SD- 419 10:00a.
Sep 18, 85 Committee on Foreign Relations. Hearings held.
Oct 22, 85 Committee on Foreign Relations. Date of scheduled hearings. SD- 419 9:30a.
Oct 22, 85 Committee on Foreign Relations. Hearings held.
Apr 16, 86 Committee on Foreign Relations. Committee consideration held.
Apr 23, 86 Committee on Foreign Relations. Committee consideration held.
Jun 12, 86 Committee on Foreign Relations. Ordered to be reported with amendments favorably. And a Declaration.
Jul 8, 86 Reported by Mr. Lugar, Committee on Foreign Relations, with printed report with additional views - Ex.Rept. 99-17. with
PAGE 1 OF 6. READY FOR COMMAND, OPTION OR PG #(FOR NXT PG, RETURN):
99-8 (continued):
amendments and a declaration to the resolution of advice and consent to ratification.
Jul 16, 86 Amendment No. 2206 was tabled by roll call vote 65-33 (Record Vote No. 156).
Jul 16, 86 Amendment SP 2206 proposed by Senator D'Amato.
Jul 16, 86 Amendment No. 2207 was tabled by roll call vote 87-9 (Record Vote No. 157).
Jul 16, 86 Amendment SP 2207 proposed by Senator Helms.
Jul 16, 86 Amendment SP 2208 proposed by Senator Lugar.
Jul 16, 86 Amendment NO. 2208 was agreed to en bloc.
Jul 17, 86 TREATY moved through its parliamentary stages, up to and including presentation of the resolution of ratification, and the committee-reported declaration was agreed to.
Jul 17, 86 Resolution of advice and consent to ratification considered. Approved 87-10 by a roll call vote (No. 160 Ex.). Cal. No. 13.
AMENDMENTS PROPOSED:

S.AMDT.NO.2206	DATE: 07-16-86	PROPOSED BY:	D'Amato
S.AMDT.NO.2207	DATE: 07-16-86	PROPOSED BY:	Helms
S.AMDT.NO.2208	DATE: 07-16-86	PROPOSED BY:	Lugar

COUNTRIES/PARTIES:
United Kingdom
RESOLUTION:
TEXT OF RESOLUTION OF ADVICE AND CONSENT TO RATIFICATION AS REPORTED BY THE COMMITTEE ON FOREIGN RELATIONS:

Resolved, (two-thirds of the Senators present concurring therein), That the Senate advise and consent to the ratification of the SUPPLEMENTARY EXTRADITION TREATY between the United States of America and the United Kingdom of Great Britain and Northern Ireland, with Annex, signed at Washington, June 25, 1985, subject to the following amendments:

ALL, PAGE 2 OF 6. READY FOR COMMAND, OPTION OR PG #(FOR NXT PG, RETURN):
99-8 (continued):
(1) Amend Article 1 to read as follows:

"For the purposes of the EXTRADITION TREATY none of the following shall be regarded as an offense of a political character:

(a) an offense for which both Contracting Parties have the obligation pursuant to a multilateral international agreement to EXTRADITE the person sought or to submit his case to their competent authorities for decision as to prosecution;
(b) murder, voluntary manslaughter, and assault causing grievous bodily harm;
(c) kidnapping, abduction, or serious unlawful detention, including taking a hostage;
(d) an offense involving the use of a bomb, grenade, rocket, firearm, letter or parcel bomb, or any incendiary device if this use endangers and person; and
(e) an attempt to commit any of the foregoing offenses or participation as an accomplice of a person who commits or attempts to commit such an offense."

(2) Amend Article 2 to read as follows:

"Nothing in this SUPPLEMENTARY TREATY shall be interpreted as imposing the obligation to EXTRADITE if the judicial authority of the requested Party determines that the evidence of criminality presented is not sufficient to sustain the charge under the provisions of the TREATY The evidence of criminality must be such as, according to the law of the requested Party, would justify committal for trial if the offense had been committed in the territory of the requested Party.
ALL, PAGE 3 OF 6. READY FOR COMMAND, OPTION OR PG #(FOR NXT PG, RETURN):
99-8 (continued):
"In determining whether an individual is EXTRADITABLE from the United States, the judicial authority of the United States shall permit the individual sought to present evidence on the questions of whether:

(1) there is probable cause;
(2) a defense to EXTRADITION specified in the EXTRADITION TREATY or this SUPPLEMENTARY TREATY and within the jurisdiction of the courts, exists; and
(3) the act upon which the request for EXTRADITION is based would constitute an offense punishable under the laws of the United States.

"Probable cause means whether there is sufficient evicence to warrant a man of reasonable caution in the belief that:

(1) the person arrested or summoned to appear is the person sought;
(2) in the case of a person accused of having committed a crime, an offense has been committed by the accused; and
(3) in the case of a person alleged to have been convicted of an offense, a certificate of conviction or other evidence of conviction or criminality exists."

Insert after Article 2 the following new article:

"Article 3
ALL, PAGE 4 OF 6, READY FOR COMMAND, OPTION OR PG #(FOR NXT PG, RETURN):
99-8 (continued):

"(a) Notwithstanding any other provision of this SUPPLEMENTARY TREATY EXTRADITION shall not occur if the person sought establishes to the satisfaction of the competent judicial authority by a preponderance of the evidence that the request for EXTRADITION has in fact been made with a view to try or punish him on account of his race, religion, nationality, or political opinions, or that he would, if surrendered, be prejudiced at his trial or punished, detained or restricted in his personal liberty by reason of his race, religion, nationality or political opinions.
"(b) In the United States, the competent judicial authority shall only consider the defense to EXTRADITION set forth in paragraph (a) for offenses listed in Article 1 of this SUPPLEMENTARY TREATY A finding under paragrapn (a) shall be immediately appealable by either party to the United States district court, or court of appeals, as appropriate. The appeal shall receive expedited consideration at every stage. The time for filing a notice of appeal shall be 30 days from the date of the filing of the decision. In all other respects, the applicable provisions of the Federal Rules of Appellate Procedure or Civil Procedure, as appropriate, shall govern the appeals process."

(4) Renumber the remaining articles 4, 5, 6, 7.

Declaration

The Senate of the United States declares that it will not give its advice and consent to any TREATY that would narrow the political offense exception with a totalitarian or other non-democratic regime and that nothing in the SUPPLEMENTARY TREATY with the United Kingdom shall be considered a precedent by
the executive branch or the Senate for other TREATIES
ALL, PAGE 5 OF 6, READY FOR COMMAND, OPTION OR PG #(FOR NXT PG, RETURN):
99-8 (continued):
INDEX TERMS:
EXTRADITION /UNITED KINGDOM/ EXTRADITION TREATY / SUPPLEMENTARY EXRTRADITION TREATY
ALL, PAGE 6 OF 6, READY FOR NEW COMMAND, OPTION OR PG #:

79-185 - 88 - 4

ITEM 1 OF 2 IN SET 1 *** NOMINATIONS ***
99TH CONGRESS
ALL

PRESIDENTIAL MESSAGE NUMBER: PN1184 EXECUTIVE CALENDAR NO: 994
DATE RECEIVED: 06/20/86
William H. REHNQUIST of Virginia, to be Chief Justice of the United States.
REFERRED TO: Senate Committee on the Judiciary
REPORTED BY: Senate Committee on the Judiciary
ORGANIZATION: The Judiciary
LEGISLATIVE ACTIONS:
Jun 20, 86 Received in the Senate and referred to the Committee on Judiciary.
Jul 29, 86 Committee on Judiciary. Hearings held. (Jul 30, 86; Jul 31, 86; Aug 1, 86).
Aug 14, 86 Committee on Judiciary. Ordered to be reported favorably.
Aug 14, 86 Placed on Senate Executive Calendar. Calendar No. 994.
Aug 14, 86 Reported by Mr. Thurmond, Committee on the Judiciary, without printed report. Sep 8, 86 Mr. Thurmond, Committee on the Judiciary, filed a printed report together with additional, minority, and supplemental views (Printed report--Ex. Rept. 99-18).
Sep 8, 86 Mr. Thurmond, Committee on the Judiciary, filed a printed report together with additional, minority, and supplemental views (Printed report--Ex. Rept. 99-18).
Sep 11, 86 The Senate proceeded in executive session to consider the nomination. (Sep 12, 86).
Sep 15, 86 The Senate proceeded in executive session to further consider the nomination.
Sep 15, 86 Mr. Dole filed a cloture motion to bring to an end debate on the nomination.
Sep 16, 86 The Senate proceeded in executive session to further consider the nomination.
Sep 17, 86 By unanimous consent agreement the vote on cloture is to occur at 3 p. M. Today.
Sep 17, 86 By a yea-nay vote of 68-31 the cloture motion was agreed to (Record Vote No. 265).
Sep 17, 86 Confirmed by the Senate by Yea-Nay Vote. 65-33. Record Vote No: 266.
PAGE 1 OF 1. READY FOR NEW COMMAND OR NEW OPTION:

Automatic Legislative Tracking

S. 888

Sponsor: Durenberger

Cosponsor(s): Current (31) Withdrawn (0)

Packwood; Hatfield; Hart; Kassebaum; Baucus; Burdick; Inouye; Boschwitz; Kennedy; Cohen; Wallop; Heinz; Riegle; Mitchell; Melcher; Tsongas; Dixon; Leahy; Matsunaga; Mathias; Pressler; Cochran; Glenn; Bingaman (A-04/05/83); Stevens (A-04/05/83); Levin (A-04/05/83); Hollings (A-04/12/83); Cranston (A-04/27/83); DeConcini (A-05/03/83); Andrews (A-07/14/83); Metzenbaum (A-07/14/83).

Latest Official Title:

A bill entitled "The Economic Equity Act".

Senate Committee Referrals:

Committee on Finance.

Changes:

Legislative Status:

Del. Senate—Aug. 2, 83, Committee on Finance. Hearings held.

Senate—Mar. 23, 83, Read twice and referred to the Committee on Finance.

Senate—Apr. 5, 83, Committee on Finance requested executive comment from OMB, Treasury Department, Health and Human Services Department.

Senate—Jun. 20, 83, Committee on Finance. Hearings held.

Senate—Jun. 21, 83, Committee on Finance. Hearings held.

Add Senate—Aug. 2, 83, Committee on Finance. Hearings held.

S. 973

Sponsor: Andrews

Cosponsor(s): None.

Latest Official Title:

A bill to make technical amendments to the Indian Self-Determination and Education Assistance Act and other Acts.

Senate Committee Referrals:

Select Committee on Indian Affairs.

Changes:

Legislative Status:

Senate—Apr. 5, 83, Read twice and referred to the Committee on Indian Affairs.

Senate—Apr. 28, 83, Committee on Indian Affairs. Hearings held. Hearings printed: S. Hrg. 98-171.

Senate—Apr. 28, 83, Committee on Indian Affairs. Ordered to be reported without amendment favorably.

Senate—May 5, 83, Committee on Indian Affairs. Reported to Senate by Senator Andrews without amendment. With written report No. 98-73.

Senate—May 5, 83, Placed on Senate Legislative Calendar under Regular Orders. Calendar No. 121.

Senate—May 25, 83, Considered by Senate.

Senate—May 25, 83, Amendment SP 1301 proposed by Senator Baker for Senator Helms.

Senate—May 25, 83, Amendment SP 1301 agreed to in Senate by Voice Vote.

Senate—May 25, 83, Passed Senate with an amendment by Voice Vote.

House—Jun. 1, 83, Called up by House by Unanimous Consent.

House—Jun. 1, 83, Passed House by Voice Vote.

House—Jun. 1, 83, Cleared for White House.

Senate—Jun. 7, 83, Measure Signed in Senate.

House—Jun. 7, 83, Presented to President.

House—Jun. 18, 83, Vetoed by President.

Add Senate—Jun. 20, 83, Veto message ordered held at the desk.

COMMITTEE MEMBERSHIP AND COMMENTS
MAR. 4, 1988

Committee on the Judiciary
COMMENTS:
94th Congress size was set at 15 by S. Res. 17 (Jan. 17, 1975). 95th Congress size was 14 (S. Res. 19; Jan. 10, 1977); S. Res. 4, 95th Congress was 15 (Feb. 4, 1977); size was changed to 17 by S. Res. 82, agreed to on Feb. 11, 1977. The 96th Congress size remained at 17 (S. Res. 21, Jan. 23, 1979). 97th Congress size was set at 18 by S. Res. 13 (Jan. 5, 1981). The 99th Congress reduced Committee size to 17 by S. Res. 31 (Jan. 3, 1985). S. Res. 14 (100th Congress, Jan. 6, 1987), reduced Committee size to 14. Congress size remained at 17 by S. Res. 21 (January 23, 1979). The Committee size increased from 17 to 18 in the 97th Congress by S. Res. 13 (January 5, 1981).
Senators Riegle and Sasser served as temporary Democratic Members, Senators Chafee and Heinz as temporary Republican
MORE? PAGE 1 OF XXX
Members, of the Committee during January and February of 1977.

MEMBER	DATE APPOINTED	EX OFFICIO	MEMBER	DATE APPOINTED	EX OFFICIO
Biden (DE)	02-11-77		Thurmond (SC)	01-16-67	
Kennedy (MA)	02-15-63		Hatch (UT)	02-22-77	
Byrd (WV)	01-14-69		Simpson (WY)	01-23-79	
Metzenbaum (OH)	02-11-77		Grassley (IA)	01-05-81	
DeConcini (AZ)	02-11-77		Specter (PA)	01-05-81	
Leahy (VT)	01-23-79		Humphrey (NH)	01-06-87	
Heflin (AL)	01-23-79				
Simon (IL)	02-21-85				

END PAGE 2 OF 2

DATA GENERAL

NAMING CONVENTIONS

EXAMPLE:

Drawer: Bill File, AMTRAK
Folder: S. 102, Authorization
Document Name: Smith, John 10/5/97
Keywords: Permanent/Any additional Topics

FILLING IN THE SUMMARY SHEET

- ☐ Drawer—Should be the name of the document series. (See exhibit 4-31)
- ☐ Folder—Topic/subtopic, selected from a committee or subcommittee-wide list. For bill files, include number of bill, section of bill or amendment, and/or name.
- ☐ Document Name—Name of correspondent, last name first, possibly with a sequence number, date, or subtopic, as appropriate.
- ☐ Keywords—Designate document retention by entering either "permanent", "transitory", or "dispose". Keywords may be assigned to each document or to each document series.

Permanent:	Retain for permanent archival collection
Transitory:	Retain for a period of time only, then dispose
Dispose:	Delete upon completion

SAMPLE INVENTORY OF FILES FOR A BILL FILE DRAWER

Drawer: Bill file, Amtrak

Folder: Correspondence From Interested Parties

Document: Doe, John 11/2/85
Document: Doe, John 11/10/85
Document: Smith, James 10/1/85

Folder: Witness Notices

Document: Carter, John 11/13/85
Document: Smith, Jane 10/1/85

Folder: S. 101, Bill Name

Document: Draft No. 1
Document: Draft No. 2

Folder: S. 101, Memos To Members

Document: Senator Smith 11/3/85
Document: Senator Taylor 11/3/85

Folder: S. 102 Authorization

Document: Jones, Jane 9/1/85
Document: Smith, James 9/2/85

Folder: Agency Comments

Document: Doe, James 9/5/85
Document: Doe, James 9/15/85
Document: Smith, James 9/15/85

HONEYWELL

EXAMPLE: PC1AB0001

PC—Document Series (See exhibit 4-31)
1—Retention code (1-permanent; 2-retain for a period of time; 3-delete upon completion. This may be assigned to each document or according to document series.)
AB—Typist's initials
0001—Sequential numbering system for each document type by each typist

FILLING IN THE SUMMARY SHEET

Author—Should be the name of the person who wrote the document.
Title—Should show the TOPIC.SUBTOPIC in full words and date.
Comments—Shows the style of the document (letter, memo, bill number, committee name, etc.); to whom the memo is sent and the specific subject if it is a memo; name of the bill and sponsor if it is a bill, etc.

FILE FOLDERS

Naming File Folders:

File folders should be named according to DOCUMENT SERIES.TOPIC.SUBTOPIC with each portion of the file folder name separated by a period. The document series are shown in exhibit 4-31, and the topic and subtopic should be selected from a committee or subcommittee subject classification outline.

EXAMPLE: BF.AG.02
BF—Document series, Bill File
AG—Topic, Aged
02—Subtopic, RSVP Program

HONEYWELL

SAMPLE INVENTORY FOR BILL FILES AND INVESTIGATIONS

Private Documents

Name	Edition	Title	Total Pages	Date Changed	Date Filed
BF1AB0001[1]	00.004	Security[2].Documents Control[3]. DATE[4]	10	86/08/25	86/08/25
	John Jones[5]	S.R.150. Title of Bill			
BF1DC0011	00.005	Security. CIA. DATE	14	86/08/25	86/08/25
	Mary Smith	S. 50. Title of Bill			
BF1DC0012	00.002	United Nations. Delegations. DATE	12	86/08/25	86/08/25
	Mary Smith	S. 189. Title of Bill			
IN1AB0002	00.0001	NATO. Membership. DATE	5	86/08/25	86/10/12
	John Jones	Correspondent[6]			
IN1AB0003	00.0002	Arm Sales. Arab.DATE	10	86/09/10	86/09/10
	John Jones	Correspondent			
IN1DC0001	00.0001	USIA.Programs.DATE	35	86/10/12	86/10/12
	Mary Smith	Correspondent			

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[1]Document name in alphanumeric order
[2]Title
[3]Topic
[4]Date of document
[5]Author
[6]Name of correspondent

Prime

The following is a suggested master filing code system for titling documents created in Word MARC, Prime's word processing system. It is designed to standardize the naming of documents so that they can be readily retrieved by their authors, but also other office staff, future staff, and historians. The codes are also linked to retention and disposition guidelines, and are designed to facilitate the systematic transfer of electronic records to an archival storage medium.

DOCUMENT CREATION MENU

The document title should contain:

- ☐ the document series code (See exhibit 4-31)
- ☐ the document retention code
- ☐ a period
- ☐ the name of the correspondent and/or topic/subtopic

DOCUMENT SERIES CODE

Standard, two-letter codes identifying the types of documents created in Senate offices. For purposes of retaining documents for a permanent record, each document should contain this code as its first two letters.

DOCUMENT RETENTION CODE

The numbers 1, 2, or 3 following the document series code will identify the retention of the document as follows:

1—permanent: to be retained for the member's permanent records

2—transitory: retain for a period of time

3—dispose: delete upon completion

OTHER DOCUMENT IDENTIFICATION

The remaining spaces in the document title may be used to identify the name of the correspondent, the topic/subtopic, or other appropriate information. Document topics and subtopics should be assigned from a committee subject outline. Topic/subtopics alternatively may be entered as a file folder if the name of the correspondent is entered. Documents pertaining to specific bills should contain the name and number of the bill.

THE DOCUMENT PREFIX

The document ID begins with a letter of the alphabet assigned by the author to each document created in Muse. (The accompanying number is assigned by the system.) The 26 letters of the alphabet may be used at the discretion of the staff member. A list of documents may be obtained for all documents having the same letter prefix.

DOCUMENT FILE FOLDERS

An unlimited number of file folders may be set up under Files Management. Each document may be placed in a total of four file folders for cross-referencing purposes. Each folder is identified by a code of four letters or less. Folders should be used as follows:

File Folder No. 1: This is your subject file, and may be used for any topic that is temporarily useful. Since this is dropped when a document is sent to the central files it should not be used for permanent records.

File Folder No. 2: Topic/subtopic code. (See committee outline which must be coded for computer input. Example in Exhibit 4–32.)

File Folder No. 3: Bill number or bill name, if not in the title. Alternatively, agency name or program name.

File Folder No. 4: Date document created. *One folder must be the date of the document creation, since the date is not carried on the file folder listing.*

File Folder No. 5: Name of the staff person (to be used for documents in a personnel file).

PRIME

SAMPLE LIST OF DOCUMENTS IN A BILL FILE

List of Selected Documents
(for a bill file)

Search by: BF1,S101

	Doc Id	Auth	File Folders	* Date	Title
1	B00005	TR1	DATE,AM01	11/12/85	BF1.Amtrak,JohnSmith,S101
2	B00004	TR1	DATE,AM01	11/06/85	BF1.Amtrak,JackDowns,S101
3	B00003	TR1	DATE,AM01	11/03/85	BF1.Amtrak,Appropr.,S101
4	B00002	TR1	DATE,AM02	11/03/85	BF1.Amtrak,MarySmith,S101
5	B00001	TR1	DATE,AM01	10/02/85	BF1.Amtrak,JaneDoe,S101
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					

Enter (N)ext (P)revious (S)earch change (D)elete (A)rchive (E)xit (Item No.): _____

* Date item was last viewed, not date of document

EXHIBIT 4-31 DOCUMENT SERIES CODES AND SERIES RETENTION

TYPE OF FILE	FILE CODE	CODE DESCRIPTION	RETENTION
COMMITTEE STAFF FILES	SD	Staff Director—correspondence/memos	Permanent
	CC	Chief Counsel—correspondence/memos	Permanent
	AC	Assistant Counsel—correspondence/memos	Permanent
	MM	Committee Members—correspondence/memos	
	BC	Budget Coordinator/Economist	
COMMITTEE LEGISLATION AND OVERSIGHT	BF	Bill file, full committee may include section-by-section, substantive drafts of legislation, amendment language, letters to interested parties, letters to agency personnel, and staff analytical memos	Permanent
	SB	Bill File, subcommittee, designate which one	Permanent
	IN	Investigations--a separate file for each investigation, may include memos and correspondence concerning the investigation, and substantive drafts of any reports	Permanent
	OV	Oversight Correspondence, from committee staff to agency personnel and other interested parties concerning matters of committee oversight; sometimes called a Subject File	Permanent
	NO	Nominations--all correspondence and memos pertaining to consideration of nominations	
PRESS FILES	PR	Press Releases	Permanent
	SP	Speeches	Permanent
	NS	Newsletters	Permanent
COMMITTEE PUBLICATIONS	CA	Calendars	Dispose upon publication
	RP	Committee Reports	Dispose upon publication
	CP	Committee Prints	Dispose upon publication
GENERAL COMMITTEE BUSINESS	HE	Hearings—correspondence with witnesses and staff housekeeping memos	Dispose when no longer of administrative use

TYPE OF FILE	FILE CODE	CODE DESCRIPTION	RETENTION
GENERAL COMMITTEE BUSINESS (continued)	BR	Briefing material—information memos	Dispose upon completion of briefing book
	MI	Minutes of business meetings	Retain in paper
	CR	Constituent correspondence	Dispose when two years old
OFFICE MANAGEMENT	SM	Staff memos	Permanent
	PN	Personnel	Dispose when no longer of administrative use
	JA	Job applications	Dospose when no longer of administrative use
	OF	Office funds	Dispose when no longer of administrative use

COMMITTEE AND STAFF CODES

COMM	Full Committee
MAJ.	Majority
MIN.	Minority
SLAB	Subcommittee on Labor
SEAH	Subcommittee on Education, Arts, and Humanities
SEMP	Subcommittee on Employment and Productivity
SHAN	Subcommittee on the Handicapped
SCFD	Subcommittee on Children, Family, Drugs, and Alcoholism
SAGE	Subcommittee on Aging
SDIR	Staff Director
ADMN	Administration
COUN	Chief Counsel
HBUD	Budget
HHEA	Health
HEDU	Education
HLAB	Labor
HFOA	Foreign Affairs
HINV	Investigations
HPRE	Press
HSPE	Speeches
EDIT	Editor
PUBS	Publications
COMP	Computer

COMMITTEE MEMBERS

Use three initials followed by a period when setting up file folders for each committee member.

Example:

EMK.	Senator Kennedy
OGH.	Senator Hatch

FILE FOLDER HEADINGS—SUBJECT LIST

ABC.	Alcoholic Beverage Control
ADEA	Age Discrimination in Employment Act
ADED	Adult Education
ADOP	Adoption
AFAC	Affirmative Action
AFLC	AFL-CIO
AGED	Aged
AGNG	Aging
AGRI	Agriculture
ALAD	Alcohol Advertising
ALCH	Alcohol and Alcoholism
ANCO	Anticrime Coalition
ANTR	Antitrust
APPR	Appropriations
ATFE	Attorney Fees
AUTH	Authorizations
BAAC	Bankruptcy Act
BABU	Balanced Budget
BANK	Bankruptcy
BARE	Bankruptcy Reform
BICO	Birth Control
BIED	Bilingual Education
BLAC	Blacks
BLLU	Black Lung
BUDE	Budget Deficits
BUFR	Budget Freeze
BUIF	Budget Information
BUIN	Business and Industry
BURE	Budget Reduction
BURS	Budget Rescissions
CAPU	Capital Punishment
CENS	Censorship
CENU	Census
CHAB	Child Abuse
CHCA	Child Care
CHED	Church and Education
CIR7	Civil Rights Act—Title 7
CIRI	Civil Rights
CISE	Civil Service
CLRE	Child Labor Relations
COBA	Collective Bargaining
COCO	Community Colleges
COCO	Constitutional Convention
COIN	Correctional Institutions

COLE	Copyright Legislation
COLL	Colleges and Universities
COMM	Communications
CONF	Confirmations
CONG	Congress
CONN	Connecticut
COPR	Consumer Protection
COUR	Courts
COWO	Comparable Worth
CPIN	Consumer Price Index
CRCO	Criminal Code
CRCR	Crime and Criminals
CRIM	Crime
CSPE	Civil Service Pensions
CSRE	Civil Service Retirement
CVRE	Copyright Video—Records
DABA	Davis—Bacon
DEPE	Death Penalty
DESE	Desegregation
DESP	Deficit Spending
DIEM	Discrimination in Employment
DIGU	Discrimination Guidelines
DISC	Discrimination
DISE	Diseases
DRAB	Brug Abuse
DREM	Drugs and Employment
DRUG	Drugs
EAJA	Equal Access to Justice Act
EBPL	Employee Benefit Plans
EBTA	Employment Benefit Taxation
ECON	Economy
ECST	Economics and Statistics
EDTE	Educational Tests
EDUC	Education
EEOP	Equal Employment Opportunity
EHAC	Enmons—Hobbs Act
ELEC	Elections
EMHA	Employment—Handicapped
EMLI	Employers Liability
EMPL	Employment (General)
EMQO	Employment Quotas
EMRI	Employee Rights
EMTR	Employment Training
EPEW	Equal Pay for Equal Work
ERA.	Equal Rights Amendment
FAMI	Families
FAPO	Family Policy
FEAI	Federal Aid
FECA	Federal Employment Comp. Act
FECO	Federal Election Commission
FERE	Fair Employment Report
FIAR	Fine Arts
FIRE	Firefighters
FJRE	Federal Judiciary Reform
FLEX	Flexible Work Hours
FLOR	Florida
FLSA	Fair Labor Standards Act—HR. 6103
FMAS	Federal Mine Safety
FMCO	Federal Mediation Conciliation
FMCS	Federal Mediation Conciliation Service
FOCA	Foster Care
FOLA	Forced Labor
FOPA	Firearms Owners Protection Act—S. 914
FORA	Firearms Ownership Rights Act
FORE	Foreign Relations
FOTR	Foriegn Trade
GREE	Greetings
GUAR	Guards
GUCO	Gun Control
HACO	Habeus Corpus
HAND	Handicapped
HAWA	Hawaii
HOUS	Housing
HOWO	Homework
ILLI	Illinois
IMLE	Immigration Legislation
IMMI	Immigration
INBA	International Banking
INDE	Insanity Defense
INDI	Indiana
IOWA	Iowa
IPRL	Immigration Private Relief Legislation
JUCO	Junior Colleges
LAAR	Labor Arbitration
LABR	Labor
LALA	Labor Law and Legislation

LAOR	Labor Organizations
LAPO	Labor Policy
LAST	Labor Strikes
LAUN	Labor Unions
LEOP	Law Enforcement Officers Protection Act
LEVE	Legislative Veto
LHWC	Longshoremen-Harbor Workers Compensation Act
LIBR	Libraries
LIDE	Lie Detectors
LLRE	Labor Law Reform
LMRE	Labor Management Relations
MABE	Malt Beverage
MASS	Massachusetts
MEAR	Mediators-Arbitrators
MECA	Medical Care
MEDI	Medicare
MERG	Mergers
MICH	Missing Children
MIED	Minority Education
MPPL	Multiemployer Pension Plans
MSHE	Mine Safety Health Act
MUSE	Museums
NADE	National Debt
NFLA	NFL Anti-trust
OBSC	Obscenity
OHIO	Ohio
OKLA	Oklahoma
PBGP	Pension Benefit Guaranty Program
PELO	Pension Losers
PERI	Public Employees Retirement Inc. Sec. Act
PORN	Pornography
PRES	President-Office of
PRRE	Prison Reform
PRSC	Private Schools
PUSC	Public Schools
PUWE	Public Welfare
R.I.	Rhode Island
RACK	Racketeering
RAIL	Railroads
RARE	Railroad Retirement
REDI	Reverse Discrimination
RETI	Retirement
RFAC	Regulatory Flexibility Act
ROBO	Robotics
RTWO	Right to Work
S.C.	South Carolina
SCAC	Service Contract Act
SCBU	School Busing
SCCA	Supreme Court Cases
SCDE	Supreme Court Decisions
SCPR	School Prayer
SDIE	Sex Discrimination in Education
SEED	Secondary Education
SEEQ	Sex Equity
SEGU	Security Gourds
SEHU	Secular Humanism
SEOF	Sexual Exploitation-Children
SHWO	Sheltered Workshops
SMBU	Small Business
SOIN	Social Investing
SOSE	Social Security
SPED	Special Education
SR22	Senate Rule XXII— Filibuster
STLO	Student Loans
SUAP	Supplemental Appropriations
SUWA	Subminimum Wage
TAHA	Taft—Hartley Act
TAX.	Tax
TEBR	Television Broadcasts
TEEM	Temporary Employment
TRAD	Trade
TTCR	Tuition Tax Credits
ULPR	Unfair Labor Practices
UMTA	Urban Mass Transit Act
UNCO	Unemployment Compensation
UNEM	Unemployment
UNIS	Unisex
USCO	U.S. Constitution
UTAH	Utah
VERM	Vermont
WACO	Wage Controls
WAHE	Walsh—Healey (general)
WOMW	Working Mothers

WYOM	Wyoming

COMMITTEE ON LABOR AND HUMAN RESOURSES—AGENCY FILE FOLDER CODES

ACTN	Action
ADAG	Administration on Aging
ADMH	Alcohol and Drug Abuse Mental Health Administration
ARC.	American Red Cross
BIA.	Bureau of International Affairs
BLS.	Bureau of Labor Statistics
CEUS	National Commission on Employment and Unemployment Statistics
CSAD	Community Services Administration
CWEP	National Advisory Council Women Education Programs
DEA.	Drug Enforcement Administration
DEED	Department of Education
DEJU	Department of Justice
DETR	Department of the Treasury
DOL.	Department of Labor
EEOC	Equal Employment Opportunity Commission
ESAD	Employment Standards Administration
ETAD	Employment and Training Administration
FBI.	Federal Bureau of Investigations
FCAG	Federal Council on Aging
FEMA	Federal Mediation and Conciliation Services
GAO.	General Accounting Office
GPO.	Government Printing Office
HHS.	Department of Health and Human Services
HTSF	Harry Truman Scholarship Foundation
LSC.	Legal Services Corporation
MBBR	Commission Ethical Prb. Medical Bio-Behavioral Research
MSHA	Mine Safety and Health Administration
MSHR	Federal Mine Safety Health Review Commission
MTDE	Maritime Trades Department
NCER	National Council on Education Research
NCHC	National Council on Handicapped Research
NEA.	National Endowment for the Arts
NEH.	National Endowment for the Humanities
NIE.	National Institute of Education
NIH.	National Institute of Health
NIHR	National Institute for Handicapped Research
NLM.	National Library of Medicine
NLRB	National Labor Relations Board
NMB.	National Mediation Board
NMSB	National Museum Services Board
NSB.	National Science Board
NSF.	National Science Foundation
OCRI	Office of Civil Rights
OERI	Office of Education Research Improvements
OESE	Office of Elementary and Secondary Education
OFCC	Office of Federal Contract Compliance Programs
OMB.	Office of Management and Budget
OPED	Office of Postsecondary Education
OSHA	Occupational Safety and Health Administration
OSHR	Occupational Safety and Health Review Commission
OTA.	Office of Technology Assessment
OVAE	Office of Vocational and Adult Education
PBGC	Pension Benefits Guaranty Corporation
PHS.	Public Health Service
PHSC	Public Health Service Corporation
RRRB	Railroad Retirement Board
RSAD	Rehibilitation Services Administration
SERS	Special Education and Rehabilitation Services
USTR	U.S. Trade Representative
VETS	Veterans Employment Administration
W.H.	White House

EXHIBIT 4-33 BUDGET REPORT

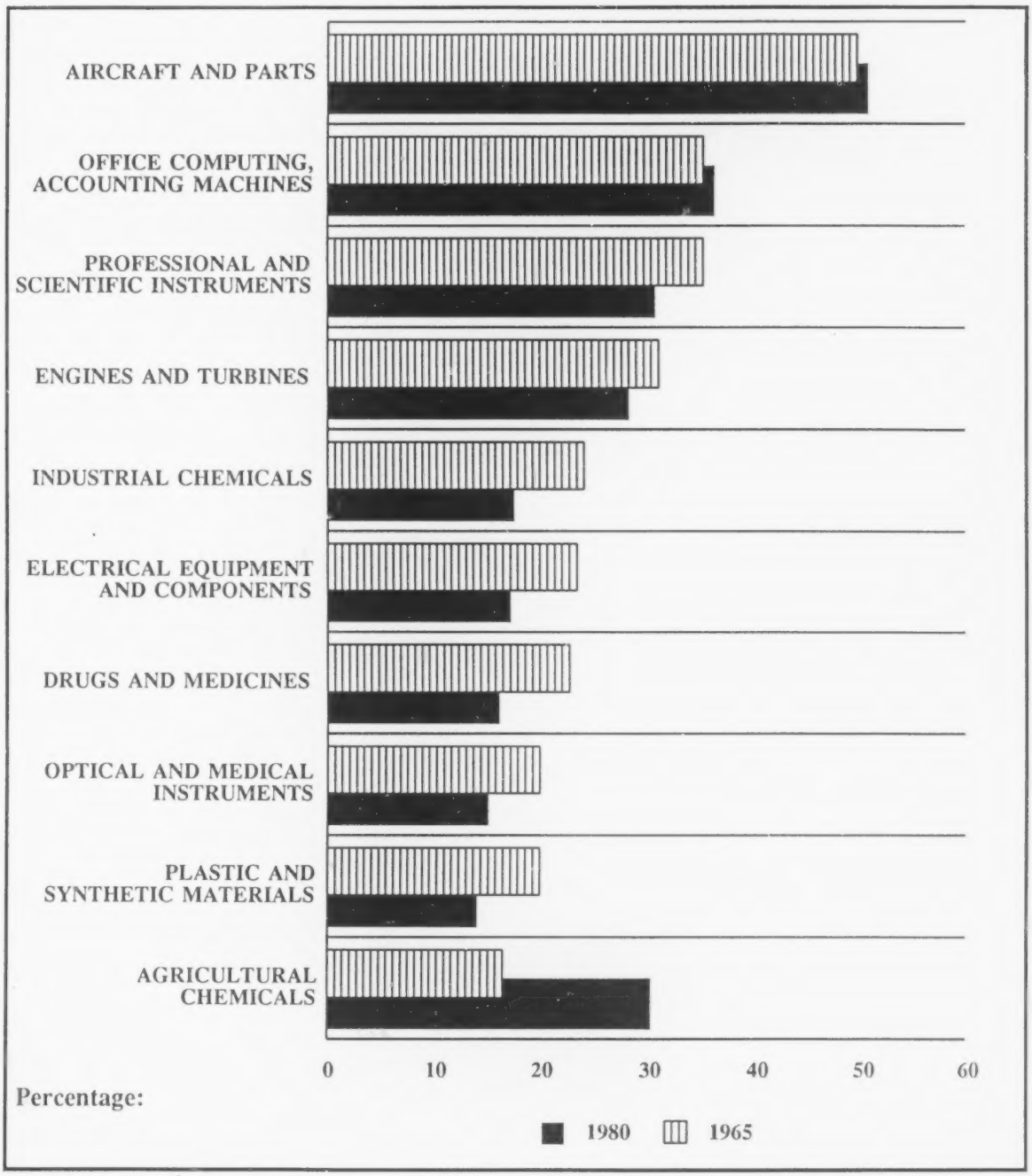
GRAMM-RUDMAN-HOLLINGS 4.3% BUDGET CUT

PROGRAM		FY 86 Sequester OMB & CBO Jan. 15, 1986 ($ in thousands)
Railroad Accounting Princ. Bd.	BA:	32
	O:	28
OSTP	BA:	100
	O:	76
USTTA	BA:	516
	O:	427
NOAA-ORF	BA:	48,672
	O:	33,872
Fishing Vessel Gear Damage	BA:	0
	O:	10
Fishermen Contingency Fund	BA:	32
	O:	28
Fishermen Guaranty Fund	BA:	129
	O:	129
Foreign Fishing Observer	BA:	194
	O:	190
Fisheries Loan Fund	BA:	0
	O:	0
SK Promote Fund	BA:	344
	O:	214
Aviation Weather	BA:	1,204
	O:	1.011
NBS	BA:	5,241
	O:	4,046
NTIA	BA:	1,605
	O:	588
Federal Highway Admin		
Motor Carries Safety	BA:	598
	O:	537
Safety R&D	BA:	366
	O:	68
Safety Grants	BA:	430
	O:	86
Motor Safety Grants	BA:	731
	O:	676
NHTSA	BA:	3,606
	O:	4,881
Federal Railroad Admin		
Rail Service Assist.	BA:	869
	O:	338
Northeast Corridor	BA:	538
	O:	30
Office of Admin.	BA:	435
	O:	402
Rail Safety	BA:	1,194
	O:	965
AMTRAK	BA:	25,263
	O:	25,263
Rail R&D	BA:	456
	O:	275
Rail Rehab.	BA:	1,441
	O:	72
FAA Total	BA:	171,273
	O:	123,218
Coast Guard Total	BA:	86,258
	O:	73,648
MARAD	BA:	3,423
	O:	2,816
Research and Special Prog.	BA:	830
	O:	512
DOT Sec.	BA:	3,560
	O:	3,182
NASA Total	BA:	322,759
	O:	223,217
CPSC	BA:	1,548
	O:	1,317
FCC	BA:	4,069
	O:	3,779
FMC	BA:	510
	O:	457
FTC	BA:	2,817
	O:	2,634
ICC	BA:	2,072
	O:	1,961
MMC	BA:	38
	O:	31
NSF	BA:	65,526
	O:	34,034
NTSB	BA:	959
	O:	901
TOTAL REDUCTION	BA:	759,043
	O:	545,980

(BA in $ Millions)	FY 1985 AUTHORIZED	FY 1985 APPROP'D	FY 1986 REAGAN REQUEST	AUTH'D '85 REAGAN '86 % DIFF	ACTUAL '80 REAGAN '86 % CHANGE REAL TERMS
ASSISTED HOUSING					
Section 8 Rental Assistance					
New Construction (Elderly)	1,709	1,709	0	-100%	-100%
Existing Housing: Regular	2,621	2,621	0	-100%	-100%
For Loan Management	81	81	84	4%	--
Property Disposition	358	358	350	-2%	--
Conversions (Sec. 23, etc.)	1,851	1,851	45	-98%	--
Moderate Rehabilitation	419	419	0	-100%	--
Amendments	392	392	571	46%	-87%
Section 8 Voucher	774	774	66	-92%	--
Subtotal Section 8:	8,205	8,205	1,115	-86%	-96%
Low Income Public Housing					
New Construction	945	945	0	-100%	-100%
Construction Amdts., Lease & Interest Rate Adjustments	654	654	102	-84%	-93%
Section 23 conversions	0	0	0	0%	0%
Modernization	1,725	1,725	175	-90%	-87%
Indian Housing	313	313	0	-100%	-100%
Subtotal Public Housing:	3,637	3,637	277	-92%	-97%
Rental Rehab Grants	0	0	0	0%	--
Rental Development Grants	0	0	0	0%	--
BUDGET AUTHORITY AVAILABLE	11,842	11,842	1,392	-88%	-96%
Less: Carryovers, Recaptures, Deferrals & Permanent Auth.	(1,082)	(1,082)	(893)	-17%	-75%
NEW AUTHORITY RECOMMENDED	10,759	10,759	499	-95%	-99%
OTHER HOUSING PROGRAMS					
Public Hsg. Operating Subsidies	1,139	1,139	1,011	-11%	-3%
Troubled Projects Subsidy	0	0	0	0%	-100%
Housing for the Elderly or Handicapped Fund	598	598	20	-97%	-98%
Congregate Services Program	4	4	0	-100%	-100%
Homeownership Assist. (Sec. 235)	0	0	0	0%	-100%
Housing Counseling Assistance	4	4	0	-100%	-100%
New Emergency Shelter Grants	0	0	0	0%	--
FHA Insurance Limit (not BA)	50,900	50,900	50,900	0%	0%
GNMA Guarantee of MBS (not BA)	68,250	68,250	68,250	0%	0%
NET NEW AUTHORITY - HSG PROGRAMS	12,504	12,504	1,530	-88%	-97%

Senate Housing Subcommittee -- Democratic Staff 16-Apr-87

U.S. HAS LOST MARKET SHARE IN 7 OUT OF 10 HIGH–TECHNOLOGY SECTORS



CHAPTER V: MANAGEMENT AND DISPOSITION OF SENSITIVE AND CLASSIFIED INFORMATION

INTRODUCTION

Sensitive and classified information may be received or created by committee staff in the course of conducting research, oversight, and investigations. It can be contained in documents or it could be processed, transmitted, and stored electronically. Committees maintaining such information on electronic media should ensure that they have the necessary "secure" equipment and office space.

Whether provided by executive agencies, acquired from private sources, or originated within Congress, sensitive information should be safeguarded and protected. When the information becomes non-current, it should be appraised with assistance from the Archivist (4-3351) and appropriate disposition determined. Information deemed to be a permanent record of the committee should be transferred to the Senate's archives. Information deemed not to be a permanent record of the committee should either be shredded or returned to the originating agency, as appropriate. (For a discussion of committee records and documents received from executive agencies, see Chapter I.)

DEFINITION

The character of sensitive information is such that its premature disclosure could result in the conveyance of an unwanted political or economic advantage to others. Alternatively, release might be regarded as an unwarranted invasion of personal privacy or contrary to sound business practices. In more specific terms, the following types of information warrant protection within the executive branch and, therefore, might be regarded as "sensitive" within Congress. These materials, so identified and reproduced in Appendix F pertain to:

- ☐ National defense or foreign policy (5 USC 552(b)(1)); (E.O. 12356)
- ☐ Classified information (18 USC 952); (50 USC 783)
- ☐ Diplomatic codes (18 USC 952)
- ☐ Intelligence sources and methods (50 USC 403)
- ☐ Identities of certain United States undercover intelligence officers, agents, informants, and sources (50 USC 421)
- ☐ Electronic surveillance information (50 USC 1801)
- ☐ Law enforcement investigatory files (5 USC 552(b)(7))
- ☐ Trade secrets (18 USC 1905)
- ☐ Commercial or financial matters (5 USC 552(b)(4))
- ☐ Personal privacy (5 USC 552(b)(6)); (5 USC 552(a))

A variety of techniques exist for identifying sensitive information. A concise discussion of the five most commonly restricted categories (privacy, business information, personnel data, investigative information, and statutory restricted), and how they have been interpreted in relevant Freedom of Information Act (FOIA) case law appears in Chapter 3, "Access Concepts," *Archives and Manuscripts: Law* by Gary M. Peterson and Trudy Huskamp Peterson.[1] The *Freedom of Information Case List* includes a "Short Guide to the Freedom of Information Act" which provides an overview of the FOIA exemption categories and summary of their current status in case law.[2] Another useful and straight forward discussion about categories of executive branch information which may be protected from public disclosure under FOIA and Privacy Acts can be found in "A Citizen's Guide on How to Use the Freedom of Information Act and the Privacy Act in Requesting Government Documents."[3]

Committees may acquire certain types of sensitive records when they review nominations (for example, IRS returns) or perform certain types of investigations (individual medical records from an investiga-

[1]Gary M. Peterson and Trudy Huskamp Peterson, *Archives and Manuscripts: Law* (Chicago: Society of American Archivists, 1985) pp. 38-60.

[2]Department of Justice, Office of Information and Privacy, *Freedom of Information Case List*, (Washington: Government Printing Office, 1984, pp. 239-300.

[3]"A Citizen's Guide on How to Use the Freedom of Information Act and the Privacy Act in Requesting Government Documents," Thirteenth Report by the Committee on Government Operations, House Report No. 95-793, 1977.

tion of health care services, for example). Access rules governing Senate records reflect these considerations (see Chapter IX). In addition, the Archivist will assist committees with the identification of sensitive material should questions arise about particular categories of information.

At least one type of record is presented to Congress with a clear indication of its protected status. National Security Classified documents are marked with identification labels—"Top Secret", "Secret", and "Confidential" by executive branch personnel, indicating that their contents met prescribed standards for the creation of official secrets.

MANAGEMENT TECHNIQUES

Each committee and subcommittee should develop procedures for safeguarding sensitive information when it is received by the committee. Such procedures include:

- ☐ Appoint a "security officer" specifically to manage sensitive documents. All such documents should be delivered to this person for appropriate logging in and filing.
- ☐ File such material (whether on paper, microimage, diskette, or tape) apart from non-sensitive materials in locked file cabinets or vaults. Maintain a log of all security classified documents (GSA Form 1567, "Register of Top Secret Material," may be used).
- ☐ If the level of security warrants, establish special security access or reproduction controls. Documents should be returned to the vault when not in use.
- ☐ Ensure that rooms or storage areas containing sensitive materials are protected against unauthorized entry.
- ☐ Establish a level of security for all electronic information commensurate with the sensitivity of the information and the risk and magnitude of loss or harm that could result from improper access.
- ☐ Initiate and monitor appropriate technical, personnel, administrative, environmental, and telecommunications safeguards in all electronic information systems (consult with vendors and Senate Computer Center staff).[4]
- ☐ Ensure that staff receiving security classified information have the appropriate level of clearance and are aware of sensitive document handling procedures established by the committee or subcommittee.
- ☐ Remind staff that if security classified information is transferred from a marked document to an unmarked document (to a transcript or memo, for example), the information remains classified until it has been reviewed by a declassifying official.
- ☐ Safeguard sensitive information when it is being transmitted by either electronic means or physical relocation.
- ☐ Review "Top Secret" and "Secret" documents by checking against the inventory at least once annually to determine completeness and accuracy. When the records become non-current, contact the Archivist (224-3351) to arrange for appropriate disposition and secure transfer.
- ☐ Remind staff that classified information should not be discussed on the telephone.
- ☐ Security requirements for group meetings at which classified or sensitive information will be disclosed should be coordinated with the committee security officer.
- ☐ Ensure that reporting company staff and messengers have the appropriate level of clearance.

STORAGE

Sensitive information should be used and stored under appropriate secure conditions. When not in use, it should be stored in a vault or locked filing cabinet, and of course, should not be left unattended on desk tops. Security cabinets are available from the Superintendent.

Combinations to locks should be changed when a safe is first acquired by the office and when staff who know the combination resign from the committee. It also is recommended that changes be made annually.

SOURCES FOR ADDITIONAL INFORMATION

- ☐ Secure meeting room—contact the Office of Classified National Security Information (224-5632).
- ☐ Physical security surveys including access control, locks, closed circuit TV, alarms; safe surveys and evaluations; sensitive compartmented information facilities—contact the Security Coordination Section, United States Capitol Police (225-5321).
- ☐ Agency training classes on document receipt and transfer—contact the Security Coordination Section, United States Capitol Police (225-5321).
- ☐ Transferring classified records to the Senate's archives—contact the Senate Archivist (224-3351).

DISPOSITION OF SENSITIVE INFORMATION

Any classified materials designated for transfer to the Senate's archives must be handled separately from other committee records including the preparation of separate transfer forms. Assistance with such

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[4]For some brief suggestions see Susan N. Kessem, "Checklist Provides Cheap, Bother-Free Security Plan," *Government Computer News*, Vol. 5, No. 13, August 4, 1986, which offers some routine practical suggestions. In depth discussions of computer security issues can be found in Office of Technology Assessment, *Automation of America's Offices, 1985-2000*, (Washington: Government Printing Office, 1985) and *Federal Government Information Technology: Management, Security, and Congressional Oversight*, (Washington: Government Printing Office, 1986).

transfers is available from the Senate Archivist (224-3351).

The following guidelines apply only to the transmission of national security classified records. They have been adapted from a National Archives and Records Administration Information Security Manual, dated July 24, 1985.

TRANSMISSION PROCEDURES

Envelopes and Containers

(1) Whenever classified information is transmitted, it shall be enclosed in two opaque sealed envelopes or similar wrappings where size permits.

(2) Whenever classified material of a size not suitable for transmission in accordance with (1) above is transmitted, it shall be enclosed in two opaque sealed containers, such as boxes or heavy wrappings.

(3) Specialized shipping containers including closed cargo transporters may be used instead of the above packaging requirements. In such cases, the container may be considered the outer wrapping or cover.

(4) Material used for packing shall be of such strength and durability as to provide security protection while in transit, to prevent items from breaking out of the container, and to facilitate the detection of any tampering with the container.

Addressing

(1) Classified material shall be addressed to an official government activity and not an individual. This is not intended, however, to prevent use of office code numbers or such phrases in the address as "Attention: Research Department," or similar aides in expediting internal routing, in addition to the organization address.

(2) Classified written material shall be folded or packed in such a manner that the text will not be in direct contact with the inner envelope or container. A receipt form shall be attached to or enclosed in the inner envelope or container for all material. The inner envelope or container shall be marked with the highest classification of the contents.

(3) The inner envelope or container shall show the address of the sending and receiving activity, including classification where appropriate, the "Restricted Data" marking, and any applicable special instructions. It shall be carefully sealed to minimize the possibility of access without leaving evidence of tampering.

(4) An outer cover or single envelope or container shall show the complete and correct address and the return address of the sender. Envelopes or containers to be delivered by messenger or courier will show the complete street address and room number.

(5) An outer cover or single envelope or container shall not bear a classification marking, a listing of the contents divulging classified information, or any other unusual data or marks which might invite special attention to the fact that the contents are classified.

(6) Care should be taken to make sure that classified information intended only for the United States units of international staffs or other international organizations is addressed only to those units.

Receipts

(1) Top Secret and Secret material should be transmitted under a continuous chain of receipts.

(2) Receipts should be provided by the sender of the material and the forms attached to or enclosed in the inner cover. The sender should make sure that the receipt is returned by the addressee within a reasonable amount of time.

DISPOSAL AND DESTRUCTION PROCEDURES

Classified and sensitive records appraised as disposable should not simply be tossed in a wastebasket. Instead, such material should be properly destroyed beyond reconstruction in the presence of a staff member with appropriate clearance.

When classified records are destroyed, a written record of the destruction should be made. It should be signed and dated by the staff member and retained for at least two years. Any classified waste material such as hand written notes, typewriter ribbons, or electrostatic copies should be safeguarded and disposed in the same manner as original documents. Offices seeking assistance with the disposition and disposal of classified material should contact the Senate Archivist (224-3351).

DECLASSIFICATION

Declassification assistance is available to Senate committees from the Records Declassification unit and coordinated with the Legislative Archives Division at the National Archives. Arrangements for this service are made with the Senate Archivist at the time such material is transferred or upon request from committees as the need arises.

CHAPTER VI: FILES MANAGEMENT TECHNIQUES

GOALS

Effective office management depends on the establishment of a good working relationship between recordkeepers and professional staff, especially in deciding what to file and where to file it. The frequency of changes in committee staffing make it especially important that offices strive to establish a good tradition at the outset. Elements of good management include:

- ☐ Establish a smooth filing routine
- ☐ Eliminate needless filing
- ☐ Reduce the number of electrostatic copies made by using a routing slip or circulating a reading file
- ☐ Identify transitory material such as routine requests for publications, routine letters of transmittal, routine administrative papers, and file them separately from permanently valuable files or index them separately on an automated system

Techniques outlined in this chapter have been adapted for use in committee offices from various records management handbooks developed by the National Archives and Records Administration.

FILING ROUTINES

There are four basic tasks comprising a filing routine. It is best to have the same individual or individuals perform these tasks on a regular basis. They include:

- ☐ Check and sort incoming documents
- ☐ Mark them with the file designation
- ☐ Index or cross-reference, as necessary
- ☐ File material regularly

Checking And Sorting

As the daily mail arrives, and as documents are forwarded or returned to the recordkeeper for filing, the following steps are taken:

- ☐ Separate the papers into groups: "Junk Mail," or items to be discarded; items requiring further action; and items to be filed. The office manager might wish to review the junk mail periodically to ensure that the weeding is accurate.
- ☐ Determine the disposition of publications including journals, circulars, directories, etc., by attaching a note and circulating the item to staff. Staff can check one of four choices: "dispose after circulating", "retain for X years", "save only page no. X", or "keep in revolving file." (In a revolving file the oldest issue is discarded as the most recent is filed.)
- ☐ Screen the material to be filed to assure that it is ready to be filed (i.e. that staff who need to see the document have done so, or that it has been routed properly). Staff might be asked to initial such documents or write "file" on them.
- ☐ Assemble related records and check for completeness. If action is complete, but an important document is missing, the recordkeeper should attempt to obtain the papers or copies of them for the file.

Marking The File Designation

Read and analyze the documents in order to determine in which file series each belongs. The quality of filing and the efficiency of recordkeeping achieved by an office is directly related to the recordkeeper's ability to understand what types of documents belong in which files. Coding and indexing documents that are created and stored on magnetic media is especially important for future retrieval and for disposition decisions. At a minimum, all committee and subcommittee offices will need to establish a "bill" file, a general subject "oversight" file series, and a file series for nominations (see Chapter II).

Indexing And Cross-Referencing

Some papers may concern more than one topic or piece of legislation. Recordkeepers must decide whether or not to create a separate index or interfile cross-references to such papers.

Even well-planned files contain some papers that need to be cross-referenced. The cross-reference

sheets may be interfiled among the papers of the main subject or bill file or among any index files. Cross-referencing may be needed when papers that normally would be filed in separate locations need to be filed together. Examples include instances when current files include items transferred from closed files or when security classified papers filed in a restricted file have a direct relationship to documents filed in unclassified files. Permanent cross-references are used for a change of name.

Standard cross-reference forms, Optional Form 21, may be used for preparing either separate index cross-references or interfiled cross-references. Optional Form 22, Continuity Reference, can be used to indicate that a file has been moved from one place to another (sample forms can be found in Appendix G).

Placing Papers Into Files

The following techniques will result in the creation of useful, easy to use files:

- ☐ Remove all clips, pins, and rubber bands before papers are filed. Newsprint clippings should not be filed with permanent records. They may be photocopied onto bond paper and the copies filed instead.
- ☐ File material loosely in folders unless fasteners are needed to subdivide papers or to prevent loss. If it is necessary to bind materials in folders, use prong fasteners rather than staples, clips, or rubber bands.
- ☐ Check folder thickness—when a folder becomes three-fourths of an inch thick, it should be cut off, the inclusive dates listed on the caption, and a new folder, appropriately captioned, placed in the file immediately in front of the cut off folder.
- ☐ Keep folder labels visible so that files do not become "lost" in a drawer.
- ☐ Do not jam drawers to capacity. Leave about four inches of working space in a drawer.
- ☐ File clippings with related material under the same classification, unless they are filed separately for a special purpose.
- ☐ File security classified documents in a separate file, apart from unclassified papers. A cross-reference sheet should be prepared.
- ☐ Bulky or oversized material should be filed separately in storage equipment suited to its size.
- ☐ Computer tapes, disks, diskettes, microfilm, audiovisual tapes, and sound recordings should be filed separately from textual records so that these more fragile mediums can be stored in a proper temperature and humidity controlled environment.

Chargeout Cards

Encourage staff to use chargeout cards (Optional Form 23) if they remove a folder from a centralized file. The card should identify the records removed, when they were removed, and who borrowed them (see Appendix G, Sample Forms).

Labels

Drawer labels, guide card labels, and folder labels are prepared to aid filing and retrieval of information by making the organization of a file visually clear. The following techniques are suggested:

- ☐ Prepare drawer labels for each file series showing the file title, the Congress, and the segment of the particular file in that drawer.
- ☐ Prepare guide labels to give an idea of the contents of the several folders that follow.
- ☐ Folder labels should clearly identify the contents, be in large type or neatly handwritten, and contain in not more than three lines the specific name, letter, geographic location, topic, bill number or symbol identifying the contents of that folder. (Bill files should always contain the bill number.)

Guide And Folder Arrangement

- ☐ Set guide labels at two positions across a file drawer (left side or right side) to provide signposts to areas within the file.
- ☐ Arrange folder tabs in a straight line to avoid unnecessary eye movement. Tabs may be color coded when specific filing purposes must be served. Colors can be used to designate official file copies, to differentiate between types of files (i.e., legislative, press, administrative, investigative) to differentiate between permanently valuable material and transitory reference material, or to designate any other meaning useful to an office. A key to color coded files should be included with the office file plan and with the files.

Removing Inactive Records From The Office

At least at the end of every Congress, recordkeepers should dispose of inactive records according to the directions outlined in Chapter III of this handbook. To do so:

- ☐ Cut off the files.
- ☐ Call the Archivist for assistance with records appraisal.
- ☐ Prepare a transfer form obtained from the Archivist, for all inactive files so that you can retrieve them if necessary. Retain the list in your office. (For detailed instructions, see Chapter VIII, Records Transfer procedures.)
- ☐ Destroy files and weeded items authorized for destruction (see Chapter VIII for a list of items that should be weeded from inactive files).
- ☐ Set up new files including in them all pending files being carried over from one year or Congress to

the next, leaving a continuity reference form (Optional Form 22) in the inactive file. List all files carried over on a separate sheet and file at the beginning of the non-current files, keeping a copy of the list in the office.

LEGISLATIVE OR "BILL" FILES

The creation and maintenance of legislative "bill" files should be the priority task in each committee or subcommittee office. Important documents normally comprising a bill file sometimes can become scattered throughout an office. In some instances, they are retained by an individual staff member and either are lost or discarded when the staff person retires or transfers to another job. The files themselves are not always labeled properly or they are buried amidst documents of a transitory, less important nature, or even scattered among the files of several individuals so that no one file adequately documents the committee's work on a bill. The bill file series should fully document committee review, research, and analysis of all bills referred to the committee. They are among the most important files maintained by committees. It is recommended that such files clearly and deliberately be established in an office, preferably but not necessarily, in one central file series.

In order to determine whether to establish a central bill file or a decentralized bill file (i.e. one in which several staff have responsibility for maintaining different segments of the file), the administrative clerk should weigh the extent of mutual interest in the file. Generally, the greater the mutual interest of two or more staff, the more likely it is that a centralized file can be established. Advantages of centralizing the legislative "bill" files in an office include:

- ☐ Better use of personnel in that one individual can be responsible for filing papers of all legislative professional staff.
- ☐ Better documentation because concentrating the files provides the best opportunity to control records for complete and systematic documentation.
- ☐ Streamlined operations as it is easier to plan for use of microphotography, files cutoff, and records disposition.

Whichever system is best for your office, centralized, decentralized, or a combination of both, the important point to remember is to maintain the system by following a regularized disposition routine. An office can have decentralized files, as long as control of the files is centralized in a filing plan. It is important to remember that if files are divided among several staff, it becomes necessary to instruct all such staff in appropriate filing techniques.

SUSPENSE FILES

A suspense or tickler file may be set up as part of a centralized file operation (as it is with CMS or an office automation system), or it may be established on an individual basis. The purpose of such a file is to remind that something specific must be done on a certain date. For example, the file could include a brief reminder that a report must be submitted or response to an inquiry is due at a specific time. It may take the form of a 3 x 5 inch desk card file or it may consist of copies of letters or the originals of letters filed by the date that follow-up is required. If original letters are used, they must be interfiled with the appropriate file series upon completion of the necessary action. Most offices, however, will establish this file on their office automation systems.

FILING EQUIPMENT AND SUPPLIES

Choice of filing equipment and supplies is as important to establishing orderly and workable files as is the design and implementation of an office files plan. Some considerations follow:

- ☐ FILE CABINETS—Senate offices most commonly use legal size file cabinets, either four or five drawer. The five- drawer are only slightly higher and provide 25 percent more storage capacity for the same floor space.
- ☐ BOOKCASE SHELVES—Shelves are most useful for storing reference volumes, journals, and briefing books, thus keeping these bulky items out of the file drawers.
- ☐ FOLDERS—A medium weight (11 point) kraft folder with reinforced tabs is best for general use. For heavy duty, folders of 18 point kraft or pressboard (25 point) are recommended. For files of permanent value, it is best to choose a folder that is strong, stiff, and durable.
- ☐ FOLDER LABELS—Most convenient are those in a continuous strip that may be typed, then attached to a file folder. If possible, it is best to set up prelabeled subject files.
- ☐ FILE GUIDES—Most economical are standard weight pressboard (25 point) guides with metal tabs for inserting labels. Such guides can be reused and should be removed before permanent records are forwarded to storage. An average subject file requires ten guides per drawer. Large numeric files require a guide for every ten to twenty folders.
- ☐ COMPUTER PRINTOUT BINDERS—Recommended for permanently valuable indexes.

PROTECTION OF RECORDS

Recordkeepers are responsible for adequately protecting records in their custody from fire, theft, and

any other potential damage or loss. Routine precautions include:

- ☐ Restrict smoking above open file drawers; avoid emptying ash trays in wastebaskets.
- ☐ Avoid leaving records outside on desk tops overnight.
- ☐ Keep follower mechanisms inside the file drawer tight when the file is not in use. (Files stored upright and closely together will receive less damage in the event of fire.)
- ☐ Keep file room doors locked when a staff member is not present.
- ☐ Store sensitive or classified records in vaults or in secure guarded areas (see Chapter V for further discussion).
- ☐ Learn the location of the nearest fire extinguishers and alarms. Water damaged records can be salvaged; burned records cannot.

THE PURPOSE OF A SUBJECT FILE

Subject files are set up in an office when staff have a need to file or index records that document committee oversight work. (For an in-depth discussion of committee oversight see Chapter II, Committee Functions.)

The ability to distinguish between the type of document which should be filed in a legislative "bill" file and a subject file is indispensable to any good files operation. This becomes even more important in the automated office where outgoing correspondence stored on magnetic media must be consistently categorized and indexed for retrieval purposes. While a subject file contains items that document general oversight and investigations of agency programs, a legislative "bill" file documents committee work on a specific piece of legislation. Issue mail, that is, mail not solicited for a specific purpose by committee staff, traditionally is either filed and arranged by subject or is indexed by correspondent and subject on an office automation system.

SUBJECT INDEXES

A complete written list of topics that each office expects to use in filing and indexing must be created before the file is either set up in hard copy or is stored on magnetic media. The list should include codes for various file types such as bill files, issue, oversight, memos to members, nominations, and so forth (see Chapter IV, Exhibit 4-31, for a list of suggested codes).

Specific subject categories should be selected and arranged into a classification outline that includes topics and subtopics. No one needs to be one hundred percent perfect in preparing in advance all necessary topics. A recordkeeper is sure to discover some needed topics he or she did not foresee. These, of course, can be added when they arise.

Useful reference guides for compiling a list of subject terms or an office thesaurus are the *Legislative Indexing Vocabulary: The CRS Thesaurus*, 16th edition, and the companion microthesaurus, *Congress and Congressional Operations: An Alphabetical Microthesaurus of Terms Selected From the Legislative Indexing Vocabulary*, both compiled by Shirley Loo, CRS Specialist in Information Control and Automated Systems. These are available to staff from the Library Services Division, Congressional Research Service, Library of Congress, Washington, DC 20540.

CREATING A SUBJECT OUTLINE

(1) List topics now used in the current office subject file, if there is one. If your office does not have an older subject file, review correspondence that has accumulated for the past month to ascertain the subject categories and refer to the CRS thesaurus previously cited.

(2) Review your preliminary list to determine whether there are sufficient topics to cover all of the activities of the office. Be sure to delete from your list any topics covering records no longer created.

(3) Before inserting a new topic, a recordkeeper should determine if the need really exists, or has a usable topic been overlooked because it is expressed in unfamiliar wording.

(4) Clear wording is essential for all subject topics. Choose terms understandable to everyone using the files. Terms should be as exclusive as possible, and they should be precise to encourage filing at the most specific level. In choosing the best term, keep in mind— a) the way in which records are requested; b) the breadth of the file content; and c) the need for detail as governed by the volume of records.

The biggest question in meeting these requirements is whether to choose terms that denote processes, classes, or items.

Processes—actions taken, such as investigations, mark-ups, and appropriations.

Classes—groups of items such as State Department, NASA, and Small Business Administration.

Items—specific things making up the broader class such as under NASA, space shuttle, space suits, Project Mercury, etc.

In choosing topics, try not to mix processes, classes, and items at the same classification level. Subjects, ideally, should be parallel in construction whenever possible. For example:

Primary Topic—Appropriations
Subtopics—Justice Department, Small Business Administration, State Department

or

Primary Topic—Justice Department
Subtopics—Appropriations, Authorizations
Primary Topic—State Department
Subtopics—Appropriations, Authorizations

(5) Complete your final office subject outline by placing your topics in the exact desired sequence. Type the outline, leaving adequate space between topics for any necessary definitions or additions.
(6) Test your outline by using approximately one month's papers to see if all topics are covered. Ideally, your list should provide a logical home for every paper filed by subject in your office.
(7) Review the list with users to help build confidence in using the file and to improve it through suggestions.

If the quantity of records is comparatively small, the subject categories should be broad and few. As the quantity of records increases, so does the need for more numerous and precise categories.

Staff should keep in mind that an excessive number of subject subdivisions complicates the files structure and slows down the tasks of searching and filing. There are, however, two exceptions to the general rule that the volume of records determines the number and breadth of subject categories. First, regardless of volume, a separate primary topic (with subdivision as needed) must be established for unique papers that cannot be subordinated under any other subject. Second, providing for familiar terms (or subjects) used in a particular office may dictate the adoption of more primary categories than volume would support.

If a new topic must be added, the recordkeeper must determine whether to add a new primary topic or a subtopic. For example, if an office has a topic "transportation" and needs to add entries for airplanes, autos, and railroads, it is logical to add them as subtopics under "transportation." The term "transportation" can then be reserved for general information concerning transportation or for items which do not fit in one of the three subtopics.

SEPARATE NAME INDEXES FOR SUBJECT FILES

Factors To Consider:

☐ Are the records frequently requested by the names of individuals or organizations, rather than by subject?
☐ Is the correspondence filed in the subject file with many different persons or organizations, and does the correspondence cover a wide variety of subjects?
☐ Is the quantity of subject files material large (over one file drawer per year)?

If the answers to these questions are "yes," you should consider creating an index to the subject file. On the other hand, offices should not hesitate to discontinue maintaining an alphabetic index that is little used.

Steps To Create A Name Index

(for correspondence not produced through CMS or stored on magnetic media)

(1) The index should consist of extra copies of outgoing letters, in a distinctive color, or a copy produced by an office copier.
(2) The work of keeping up a name index can be reduced if a limit is placed on the type of letters for which extra copies are made. For example, correspondence with agency officials, important professional organizations, consultants, and members are most often asked for by name. It probably would not be efficient to index "pressure" mail of "issue" mail.
(3) When the recordkeeper marks the subject copy for filing, he or she should at the same time mark the index copy. The file designation of the subject copy should be marked on the upper right corner of the name index copy. Also, the name or title under which the index copy will be filed should be underscored on the subject file copy.

FILING DOCUMENTS INTO A SUBJECT FILE AND INDEXING AUTOMATED FILES

When filing documents into a subject file or indexing keep in mind the following:

☐ Determine the primary subject matter content of the document, and any secondary subject which should be cross-indexed.
☐ Refer to your Office Subject Outline for the most appropriate file designation.
☐ When the subject is not determined easily, consider why the correspondence was prepared and/or refer to documents on file to verify a selected file designation.
☐ Do not classify by words alone—topics appearing in the subject line may not represent the proper topic covered in the text.
☐ Determine necessary reference. If the paper involves more than one primary subject topic and there is a good possibility it will be asked for by

either, index under one and cross-reference under the other.

- ☐ Code the paper and place a file classification designation in the upper right corner. The classification designation can then be used to index the reply to the communication. This becomes especially important in offices storing replies on magnetic media.
- ☐ Be consistent.

CHAPTER VII: MICROGRAPHICS

USE OF MICROFILM IN THE SENATE

The sergeant at arms provides microform services to the Senate through the Micrographics Section, Reprographics Division, Service Department. These services are available to Senate offices that need to achieve better physical management of large volumes of paper work and who wish to preserve historical records. Microfilm is used to improve files management by reducing the size of the permanent collection, by facilitating handling and reproduction, and by creating a bound order for better control and security. Archival quality microfilm can be used to preserve information stored on a less permanent medium, such as newspaper clippings, and to maintain a duplicate security copy of important files such as committee minutes.

Specifically, Senate offices can use microfilm to save filing space in the office, to control files of excessive volume, to provide immediate access to paper files stored in off-site locations, and to eliminate bulky computer printouts of newsletter lists and indexes. Historically valuable files, such as old unprinted transcripts, may be too fragile to use or even photocopy in paper form. Access to these records can be facilitated through the use of microfilm and the creation of proper indexes to the microfilmed records.

Microfilm Is Not A Panacea

Micrographics can be used to solve some paper work problems, but not all. It cannot replace the implementation of a comprehensive office filing plan that defines the type of files to be kept by an office and delegates responsibility for maintaining them. By itself, it will not speed up office paper flow, eliminate the need for a file clerk, or end the necessity for searching files. Moreover, documents reproduced on microfilm do not lend themselves to annotation or updating.

Staff Responsibilities

A successful microfilm system requires an index and the preparation of an index requires staff effort. Staff must have time to prepare documents for filming including arrangement of files, preparation of adequate descriptors and targets, and disposal of duplicates and useless reference material. Specifically, a staff member must be assigned responsibility for overseeing the conversion, indexing, and subsequent day-to-day tasks. The office must determine what amount of resources can be allocated to the project to ensure that information can be found easily when it is needed.

PREPARATION OF DOCUMENTS FOR FILMING

Advice on physical preparations necessary to ensure smooth filming is available from the Micrographics Section together with advice on appropriate indexes for specific types of files. An appointment should be made with the supervisor of the Micrographics Section to plan the conversion and to design operating procedures. Generally, these steps are necessary to prepare files:

(1) Arrange the file series in strict order, either numerical, chronological, or alphabetical. Refile any records that are misfiled.

(2) Remove and discard duplicates, reference material, and envelopes.

(3) Discard all newspaper clippings attached to constituent mail, unless their content cannot be understood from the constituent letter.

(4) Perform the following preparatory steps:

- ☐ Include paper of the same general size (the maximum size that can be filmed is 11 1/2" x 18").
- ☐ Face all documents in one direction, making sure that any document numbers appear on the first sheet of each individual file.
- ☐ Remove staples and paper clips.
- ☐ Straighten folds and flatten wrinkles.
- ☐ Mend tears with transparent tape.

- ☐ Cross-out writing on the reverse side of any document that you do not wish microfilmed.
- ☐ Mount on carrier sheets those pieces smaller than 3 x 5 inch cards as well as all newspaper clippings.
- ☐ Remove binding from material which is bound.

(5) If the Senate Archivist has determined that any of the files scheduled to be microfilmed are of historical research value in paper form (i.e. letters signed by the president, members of Congress, cabinet members, governors, state legislators, famous people, important correspondence), remove the items and replace them with an electrostatic copy so that the microfilmed records include a complete file.

Write the file number in pencil on the back of the originals and file them in numerical or chronological order in a specially created file entitled "Historical Letters Worth Saving—date." This special file should be forwarded to the Senate Archives.

(6) Prepare a title page and insert it to be filmed as the first frame. Typed on a sheet of plain paper, it should include the title of the file, the type of records, and the inclusive dates.

(7) If your office uses an indexing system (such as AIS), and if the files have been indexed, a copy of the index should be microfilmed as well. The index should be in the same order as the files, such as in document number order, date order, name order, etc.

(8) Prepare target sheets—inserts that identify briefly the sequence of records that follows. They can include inclusive dates, inclusive numbers, or a portion of the alphabet. File at appropriate places in the file (i.e. the beginning of each individual file folder, or at predetermined intervals, such as every fifty letters, etc.).

(9) Determine the type and degree of indexing required to locate material on each roll of film (see section on indexing in this chapter).

(10) Forward material to the micrographics section for filming.

(11) When microfilm is received, check for completeness and accuracy.

(12) Disposition of paper files that are microfilmed should follow suggestions stated in Chapter II. It is also advisable to consult with the Senate Archivist.

WHAT TO MICROFILM

Microfilm storage and retrieval are most efficient when records have a high reference activity and users need immediate access to an entire records collection. Microfilming should be done when all files in a series are completed because an incomplete file tends to be of less research value. Factors determining the effectiveness of microfilming include:

- ☐ The information will be used by the office or repository staff in the future.
- ☐ The information is needed at a single location where there is a high reference rate (at least once per day), or at numerous locations having a moderate to low reference rate.
- ☐ The existing paper system cannot meet user requirements for information as effectively as a microfilm system.

Microfilming Automated Files

Recommendations for microfilming automated files can be found in Chapter IV in the section covering Senate Computer Center systems.

Microfilming Paper Files

The types of files listed below have the potential, depending on the use made of the file in an individual office, of meeting at least two of the criteria for effective microfilming. In none of the cases listed should the paper files be destroyed without first discussing their ultimate disposition with the Senate Archivist. It is important not to destroy any papers of historic value.

- ☐ Congressional Record Inserts (the paper is of poor quality; microfilm will last longer)
- ☐ Job Recommendations (to retain for administrative use, but dispose of the originals)
- ☐ Constituent Correspondence or Issue Mail (to reduce bulk)
- ☐ Speeches (to ensure that the file is preserved intact)
- ☐ Press Releases (to ensure that the file is preserved intact)
- ☐ Newsletters and Columns (to ensure that the file is preserved intact)
- ☐ Newspaper Clippings (the paper is of poor quality; microfilm will last longer)
- ☐ Minutes (to create a security copy)

Besides the above listed files, an office may wish to microfilm legislative assistants', administrative assistants', or key staff project files to ensure that a complete set of such files are retained as part of the Senate's collection.

INDEXING OF MICROFILM

A microfilm system is only as useful as its index. Retrieving microfilmed documents can be done more expeditiously and accurately by preparing an index to the film. The order of the index should follow the order of the microfilmed files, either chronological, numerical, or alphabetical.

All microfilm is produced with a "blip code" and microfilm number, which are assigned to each page being filmed. The number can be used by staff to prepare detailed indexes which reference every page or to indicate target points on the film which specify certain documents.

There are three types of indexing techniques from which to choose:

- ☐ ***Internal***—An index to the documents is prepared and after the documents are filmed, the frame numbers are added to the index entry. The index pages then are filmed and either spliced to the "head" end of the film or filmed on a separate index cassette or cartridge.
- ☐ ***External***—Index entries are prepared on index cards or in a log book. Microfilm roll and frame numbers are added to the index after the documents are filmed. (While this format can be most convenient for research use, it is recommended that such an index also be microfilmed, and a copy kept with the film.)
- ☐ ***Automated***—The Automated Indexing System (AIS) is used to produce indexes, usually for material generated by the Correspondence Management System (CMS). (For a discussion of these systems see Chapter IV, Automated Records.) Indexes in a variety of formats may be obtained on computer output microfilm (COM) or a regular printout. If COM is selected by an office, it is necessary to request an index that is arranged in the same order that the files are arranged because microfilm frame numbers cannot practically be added to a COM index. If printouts of an index are ordered, it is possible to enter the roll and frame numbers onto the printout, and have the printout filmed as a security copy.

ARCHIVAL STORAGE REQUIREMENTS

Microfilm production at the Micrographics Center includes the production of a master silver halide negative that is processed according to archival standards. Because the silver negative should not be used for reference in an office and must be stored under archival conditions (relative humidity of 20 to 40 percent and temperature not to exceed 70° F, with rapid changes of over 5 percent in a 24-hour period being avoided). The Archivist usually transfers the master directly to the Senate's archives.

Committees may order as many diazo reference copies as they need. When ordering microfilm, staff should specify a reduction ration of 24X whenever document size permits. Either 16mm cartridge or cassette is available. The master must be stored on a 16mm reel.

INSPECTING THE MICROFILM

The Micrographics Section performs quality control on all of its products. However, each roll of microfilm should be carefully checked again by staff for any missing pages, for the sequence of documents, the legibility of each exposure, and the legibility of the index number assigned to each document. This is especially applicable if the archivist and staff have decided to destroy the documents which have been filmed.

CHAPTER VIII: RECORDS TRANSFER PROCEDURES

This chapter provides information on WHEN, WHERE, and HOW to transfer committee records to the Senate's holdings at the National Archives when they are no longer needed for the current work of the committee.

WHEN

The prompt removal of records from committee office space when they are no longer needed for current committee business results in the following major benefits:

- ☐ adherence to Senate Rules XI and XXVI governing the ownership and disposition of committee records
- ☐ enhancement of the Senate's institutional memory; committee records are retained to document fully staff work on legislation, oversight, nominations, treaties, and the budget process
- ☐ improved protection and control of permanent records; such files will be protected against loss or damage likely to occur in temporary storage sites and they can be easily located for future reference
- ☐ improved committee operations; textual files are stripped of unneeded papers and automated systems cleared of documents or data elements no longer needed will speed work flow and administrative processes
- ☐ savings in space and equipment costs; more records can be stored in less space and at lower cost in the archives than in office space

Committee files selected for transfer should meet the following criteria:

- ☐ not be needed to carry out current committee business
- ☐ be referred to only occasionally (usually no more than once a month per file drawer and usually at least one Congress old)

Specific recommendations for the retention and disposition of all types of record series is included in Chapter III: Files Maintenance and Disposition Plan. Appraisal assistance also is available from the Archivist, 224-3351.

WHERE

The Senate's records remain the legal property of the Senate and physically are transferred to the National Archives for preservation and reference service. Established in 1934, the National Archives and Records Administration is the repository for the historical records of the United States federal government, including the Congress, the supreme court, and the executive agencies. The enabling legislation for the National Archives reads in part, "When it appears to the Archivist to be in the public interest he may . . . (1) accept for deposit with the National Archives of the United States the records of . . . the Congress . . . determined by the Archivist to have sufficient historical or other value to warrant their continued preservation by the United States government (44 USC 2107)." The Legislative Archives Division is the responsible office in the National Archives for the Senate. Today the National Archives and Records Administration consists of the main National Archives Building on Pennsylvania Avenue at Eighth Street, which includes the Legislative Archives Division; eight presidential libraries, and fourteen federal records centers.

Records in the National Archives span two centuries and include billions of pages of textual material; six million photographs; five million maps and charts; 150,000 films; 115,000 sound recordings; and over 3,000 reels of computer tape. The majority of these records were created by executive branch agencies. (Currently, the executive branch creates more than six million cubic feet of records annually and disposes of about 5.6 million cubic feet each year.) As permanently valuable records, they represent less than three percent of the original volume of agency files, the remaining ninety-five percent having been subsequently destroyed in consideration of their temporary value.The Senate's records at the National Archives date back to the First Congress in 1789. They amount to more than twenty thousand cubic

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feet, or nearly six million pages, and include items such as George Washington's first inaugural address, the text of the Monroe Doctrine message, anti-slavery petitions, and election certificates for all senators. In addition, there are records of all significant standing and select committees including files dating back to 1816 for the current committees of Foreign Relations, Judiciary, Finance, and Commerce. In 1936, a National Archives appraiser examined the entire Senate collection and concluded that "from the standpoint of historical as well as intrinsic interest, this is perhaps the most valuable collection of records in the entire United States government."

HOW

The following procedures should be observed in preparing records for transfer to the archives:

- ☐ To initiate a transfer, contact the Senate Archivist, 224-3351.
- ☐ With assistance from the archivist, identify permanent records and determine appropriate disposition of non-permanent records. Decisions about microfilming or sampling are made at this time.
- ☐ Designate record series for use on labels and transfer forms, again with assistance from the archivist (**NOTE**—This is vital in order to achieve good records description and control).
- ☐ Determine the basic pattern of records arrangement and prepare the material for transfer. Materials and boxes are provided by the Senate Archivist.
- ☐ Review records stored on electronic media and determine the most appropriate archival storage medium.

FILES PREPARATION

The following materials generally are not included in the Senate's archival collections. They should be removed before records are transferred.

- ☐ duplicate copies of reports, bills, speeches
- ☐ orchestrated pressure mail—save an example together with a list of names and addresses
- ☐ printed congressional documents normally found in federal depository libraries—an exception to this are publications marked "Committee Print"
- ☐ unsolicited publications received by the committee
- ☐ witness statements filed with the committee and included in the published hearing record
- ☐ thank you letters
- ☐ routine requests for information about hearing dates or for publications, for example
- ☐ job applications and resumes
- ☐ general reference material normally found in libraries

PACKING TEXTUAL AND AUDIOVISUAL RECORDS

When permanent records have been identified, the Archivist will provide staff with special acid-free archives boxes. These boxes must be used to transfer files to the archives.

Files should be packed carefully and the existing arrangement of the folders preserved as much as possible. Each box should be filled to near capacity, permitting easy withdrawal of individual folders for reference service. On the other hand, records should not be jammed into boxes so that the lids cannot be closed properly.

At this stage, rubber bands should be removed from the textual records as they will eventually harden and deface the files to which they are attached. Loose newspaper and *Congressional Record* clippings should be photocopied as the originals will quickly deteriorate. "Thermofax" copies should also be recopied on conventional paper as the image on the thermofax paper will eventually disappear and the chemicals within the paper itself will react with and destroy adjoining papers.

Audio and videotapes should be boxed separately from textual records because they require special preservation techniques. They should be checked for proper labeling of the reels, cassettes, or cartridges.

TRANSFERRING COMPUTER TAPES

Many committee offices will elect to preserve certain records on magnetic tape rather than in textual form. It is best to begin this process by consulting the Archivist who will assist with inventory and appraisal and will coordinate further actions with the committee systems managers, computer center staff, and staff at the National Archives.

To schedule production of archival tapes, a letter from the ranking majority and minority members requesting production of the tapes must be sent to the Sergeant at Arms.

LABELING

Archives box and tape labels should contain enough information to allow easy identification of the contents of each box and of each computer tape.

Specially printed labels are provided by the Senate Archivist. The following information must appear on the labels.

- ☐ Congress or Congresses

  Example—100th Congress or 99th-100th Congresses
- ☐ Name of Full Committee
- ☐ Name of Subcommittee, if applicable
- ☐ Majority or Minority

☐ Series Title of the Records

Example— Legislative Files, Oversight Files, Nominations, etc.

☐ Contents of Each Box, if appropriate

Example—S. 1 through S. 12

☐ Box Number

The following example indicates the information that should be typed onto each box label. NOTE—The label should be affixed on the end of the archives box, on the lower portion, just *above* the hole and *beneath* the edge of the lid. (See illustration)

TRANSFER FORMS

All records transferred to the Senate's archives must be documented on the United States Senate Records Transfer Form. This form is provided by the Archivist and serves as a detailed inventory of committee files. It includes a list of folder titles for each box, and thus serves as a "box list."

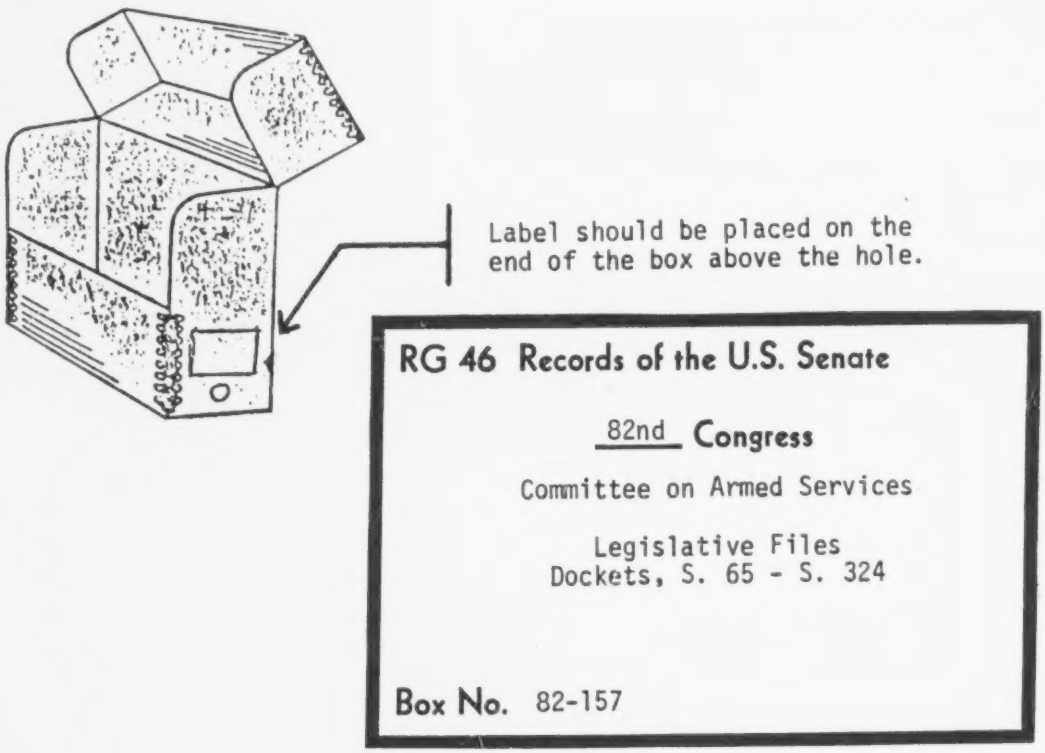
Depending upon the size of the shipment, the box list may include many pages, of which the records transfer form serves as page one. The second page of the list should be continued on plain white paper, of which the original and two copies are forwarded to the Senate Archivist. The signed original will be returned to the Archivist following receipt of the records.

There are two basic methods by which the contents of individual boxes can be described. For those containing legislative (bill) files that are arranged numerically and correspondence files that are arranged alphabetically, it usually is sufficient to indicate the inclusive numbers or names (see transfer form example). *For more complicated series, such as complex bill files and subject files, the transfer form should contain the title of each folder to promote efficient retrieval.* The Archivist will make suggestions concerning data to be entered on the transfer form.

Security classified files must be described on a separate transfer form. For further discussion see Chapter V: Management and Disposition of Sensitive and Classified Information.

REQUESTING INFORMATION OR RECORDS

The Legislative Archives Division of the National Archives provides reference service to senators and committees when they require access to their older files. The service includes search of records for specific factual information, return of individual records, and preparation of authenticated reproductions of documents. For general information or for first time assistance with access to recent records, contact the Senate Historical Office (224-6900). For further research assistance, to borrow records, and to return borrowed records, call the Legislative Archives Division of the National Archives at 523-4185, and ask for the Reference Branch Chief. If the research requires looking through a large number of boxes, committee staff may view the records in the Central Search Room at the National Archives.


Label should be placed on the end of the box above the hole.
RG 46 Records of the U.S. Senate
82nd Congress
Committee on Armed Services
Legislative Files
Dockets, S. 65 - S. 324
Box No. 82-157

Sample Transfer Form

The Senate of the United States

REQUEST FOR TRANSFER OF SENATE RECORDS TO THE NATIONAL ARCHIVES

Committee/Office: Committee on Armed Services

Address:

Location of Records:

2. Transferring Committee/Office Contact (Name, office and telephone number):

3. National Archives Receipt (Signature, title and date):

BOX NUMBERS	VOLUME (CUBIC FEET)	DESCRIPTION (Congress, dates, bill numbers, etc.)
99-1	.5	99th Congress, Legislative Files, S.4 to S.20
99-2	.5	99th Congress, Legislative Files, S.29 to S.41
99-3	.5	99th Congress, Legislative Files, S.52 to S.70
99-4	.5	99th Congress, Legislative Files, S.81 to S.190
99-5	.5	99th Congress, Nominations, Navy, Marine Corps, Air Force, General, Note--list nominees
99-6	.5	99th Congress, Nominations, National Security Resources Board, Assistant Secretary of Defense
99-7	.5	99th Congress, General Correspondence, Military Construction, A-Z, Note--list all subjects
99-8	.5	99th Congress, Unprinted Hearings, topic, dates
99-9	.5	99th Congress, Correspondence and Memos, staff, archival tape and documentation

CHAPTER IX: RECORDS: PUBLIC ACCESS

BACKGROUND ON SENATE RESOLUTION 474, 96TH CONGRESS

On December 1, 1980 the Senate adopted S. Res. 474 designed to clarify procedures for access to its non-current records at the National Archives. In agreeing to the resolution, the Senate expressed the belief that "orderly and timely public access to the Senate's records at the National Archives will greatly contribute to greater public knowledge of and interest in the Senate of the United States." Because neither the Freedom of Information Act (5 USC 552) nor the Privacy Act (5 USC 552a) apply to Congress, the access system established by S. Res. 474 determines the availability of records on deposit at the National Archives.

This resolution was based largely on the recommendations of two special study committees. On February 24, 1977 the Temporary Select Committee to Study the Senate Committee System recommended, with regard to Senate committee records, that:

> *The Senate adopt a resolution directing that all non-current committee records be opened within a certain reasonable time after their creation except where a committee declares that personal privacy, national security, or other national interest requires continued confidentiality. Each committee should state clearly which records may be made available earlier than the time period specified in the resolution and under what procedures. All statements of committee policy governing access to non-current records should be published in the Congressional Record and filed with the Secretary of the Senate, the Senate Historical Office, and the Archivist of the United States.*

Five weeks later, on March 31, 1977, the National Study Commission on the Records and Documents of Federal Officials, in its report to Congress, recommended that "unpublished records of Congress deposited at the National Archives should be made available (to the public) immediately, except for those (sensitive) materials that (would) fall under the exemptions included in the Freedom of Information and Privacy Acts." The Commission noted that the records of Congress are an invaluable source of information about the legislative process, "yet the rules governing access are so varied and inconsistent that the records themselves go unused."

The Commission concluded that the time had come for Congress to adopt uniform standards for disposition and access similar to those within the executive branch. The Commission also urged the adoption of a systematic program for records management to facilitate the separation of records of permanent value from those that can be destroyed (see Exhibit 9-1).

Over the years Senate committees made individual arrangements with the National Archives. The resulting variety of regulations created considerable confusion and often resulted in access to similar, but separate, bodies of records being granted in some cases and denied in others. S. Res. 474, 96th Congress provides for a uniform rule of access and eliminates inconsistencies.

Occasionally, certain record series quickly lose their sensitive qualities (press releases, clippings, petitions and memorials, or other files made public by the committee, for example). Committees, in such instances, have acted to open these files far in advance of the resolution's 20- or 50-year outer limits. Consultation with the Senate Archivist and Senate Legal Counsel is recommended on a case-by-case basis.

MAJOR PROVISIONS OF SENATE RESOLUTION 474, 96TH CONGRESS

The resolution (for text of resolution and report see Exhibits 9—2 and 9—3) provides for public access as follows:

- ☐ in the case of investigative files relating to individuals and containing personal data, personnel records, and records of executive nominations, when such files and records have been in existence for fifty years;

- ☐ in the case of all other such records, when such records have been in existence for twenty years. Not withstanding these provisions, any committee of the Senate may, by action of the full committee, prescribe a different time when any of its records may be made available for public use, under specific conditions to be fixed by such committee, by giving notice thereof to the Secretary of the Senate, and Archivist of the United States.

If committees take no action to the contrary, the following restrictions will apply:

Investigative files relating to individuals and containing personal data	50 years
Personnel records	50 years
Legislative bill files	20 years
Minutes of committee meetings	20 years
Executive communications	20 years
Correspondence of the chairman, members, and staff	20 years
Subject files	20 years
Unprinted transcripts of closed hearings (unless marked "Secret" or "Top Secret" in which case they will be subject to review by the committee, or if the committee is defunct, the National Archives declassification office)	20 years
Petitions and memorials	No Restriction
Press clippings and releases	No Restriction

FINAL REPORT

OF THE

NATIONAL STUDY COMMISSION ON RECORDS AND DOCUMENTS OF FEDERAL OFFICIALS

March 31, 1977

V. The Congress

For the purposes of the following recommendations, documentary materials produced or received by Congress or by individual Members and their staffs should be divided into three categories: (A) Federal records, (B) Public Papers of Members, and (C) Personal papers.

A. FEDERAL RECORDS

Recommendation 14:

The Federal records of Congress shall be its institutional records, which include committee, subcommittee, conference committee, and mark-up session transcripts and materials, as well as other papers produced or received by committees in the course of their official duties, and should be preserved in accordance with existing law as well as the rules of the House and Senate.

Recommendation 15:

All institutional records of Congress should henceforth be subject to the provisions of the Freedom of Information Act and the principles of the Privacy Act.

Unpublished records of the Congress now deposited in the National Archives should be made available immediately, except for those materials that fall under the exemptions included in the Freedom of Information and Privacy Acts, which the Archivist of the United States should continue to apply until otherwise directed by the Congress.

Comment: The institutional records of Congress are an invaluable source of information about the legislative process, yet the rules concerning access are so varied and inconsistent that the records themselves often go unused. At public hearings and at the Congressional Panel Discussion, the Commission heard testimony which deplored the current practices. The Commission was urged to recommend uniform standards to provide for orderly disposition of Congressional records and to guarantee access to them within a reasonable period of time.

Recommendations 14 and 15 would assure that institutional records of the Congress would be preserved and made available to the public in the same manner as the records of the agencies of the Executive branch. This would strengthen the public's interest in and knowledge of the Legislative branch. The Freedom of Information and Privacy Acts, which are deemed adequate to provide safeguards for records of executive agencies, would be extended to the records of Congress. The Commission believes these Acts would protect the Congress against premature disclosure of sensitive materials such as the files of special investigative committees, recent executive sessions, or records which might relate to the financial affairs of Congressmen and their staffs.

Recommendation 16:
The records of official Congressional administrative offices (Secretary of the Senate, Clerk of the House, Sergeants at Arms, Doorkeeper, Parliamentarian of the House, etc.), housekeeping and support agencies (Architect of the Capitol, Congressional Budget Office, Office of Technology Assessment, etc.), but not party conference and policy committees, should be treated in the same manner as the records of committees. Because of the unique relationship of the Offices of Legislative Counsel to Members and Committees, these records may remain closed for up to fifteen years after their creation.

Comment: The records of official Congressional administrative offices become available on a sporadic basis. Some of these records are completely unavailable, others are in the National Archives, but none is accessible in a predictable manner. This recommendation would rationalize the recordkeeping process for these important offices and would apply the safeguards provided by the Freedom of Information and Privacy Acts.

However, Members of Congress and staff members of both the Senate and House of Representatives indicated to the Commission that party conferences and policy committees differ significantly in function from other Congressional committees. Therefore, the Commission feels it would be inappropriate to treat their records in the same manner as those accumulated by other committees. Similarly, because access to the materials accumulated in Offices of Legislative Counsel might impinge upon the confidential relationship between that office and Members and Committees, the Commission believes that these records should also be handled in a manner that accords with their special status.

Recommendation 17:
A records management program should be instituted for the institutional records of Congress. In addition, the institutional records of Congress should be made subject to those provisions of Federal law which relate to archival administration and records disposition or to comparable regulations. Accordingly, the Archivist of the United States should appraise noncurrent records of the Congress offered for deposit with the National Archives to determine which records have continuing value, and he should provide for the orderly transfer of these records to the National Archives. The disposition schedule for the records of Congress should be published in the Congressional Record, and notice of the disposition of specific material should also be published at least sixty days in advance.

Comment: Congress, like executive branch agencies, accumulates many papers which do not have enduring administrative or historical value. Currently, the National Archives accepts many Congressional records that should not be permanently retained. The primary goals of records management are the full and accurate documentation of government policies and transactions and the efficient and economical creation, maintenance, and use of records. Current law requires the head of each Federal agency to establish and maintain active and continuing records management programs. The growth in the size of the Congressional establishment and the resulting increase in the volume and complexity of its institutional records have made it imperative that Congress adopt an effective and comprehensive records management program. This recommendation would enable the Archivist to work with the Congress, as he does with executive branch agencies, to develop appropriate disposition standards. The publication of the disposition schedule would assure public knowledge of these standards.

96TH CONGRESS
2D SESSION

S. RES. 474

[Report No. 96–1042]

Relating to public access to Senate records at the National Archives.

IN THE SENATE OF THE UNITED STATES

JUNE 24 (legislative day, JUNE 12), 1980

Mr. ROBERT C. BYRD submitted the following resolution; which was referred to the Committee on Rules and Administration

DECEMBER 1 (legislative day, NOVEMBER 20), 1980

Reported by Mr. ROBERT C. BYRD (for Mr. PELL), with amendments and an amendment to the preamble

DECEMBER 1 (legislative day, NOVEMBER 20), 1980

Considered, amended, and agreed to

RESOLUTION

Relating to public access to Senate records at the National Archives.

Whereas under rule XI of the Standing Rules of the Senate and section 2114 of title 44, United States Code, the Secretary of the Senate is responsible for transferring, at the close of each Congress, all noncurrent records of the Senate and

Senate committees to the General Services Administration for preservation;

Whereas such rule and section provide that such records are subject to the orders of the Senate; and

Whereas orderly and timely public access to the Senate's records at the National Archives will greatly contribute to greater public knowledge of and interest in the Senate of the United States: Now, therefore, be it

Resolved, That any records of the Senate or any committee of the Senate which are transferred to the General Services Administration under rule XI of the Standing Rules of the Senate and section 2114 of title 44, United States Code, and which have been made public prior to their transfer may be made available for public use.

SEC. 2. (a) Subject to such rules or regulations as the Secretary of the Senate may prescribe, any other records of the Senate or any committee of the Senate which are so transferred may be made available for public use—

(1) in the case of investigative files relating to individuals and containing personal data, personnel records, and records of executive nominations, when such files and records have been in existence for fifty years; and

(2) in the case of all other such records, when such records have been in existence for twenty years.

(b) Notwithstanding the provisions of subsection (a), any committee of the Senate may, by action of the full committee,

prescribe a different time when any of its records may be made available for public use, under specific conditions to be fixed by such committee, by giving notice thereof to the Secretary of the Senate and the Administrator of General Services.

SEC. 3. (a) This resolution shall not be construed to authorize the public disclosure of any record pursuant to section 2 if such disclosure is prohibited by law or Executive order of the President.

(b) Notwithstanding the provisions of section 2, the Secretary of the Senate may prohibit or restrict the public disclosure of any record so transferred, other than any record of a Senate committee, if he determines that public disclosure of such record would not be in the public interest and so notifies the Administrator of General Services.

SEC. 4. The Secretary of the Senate shall transmit a copy of this resolution to the Administrator of General Services.

○

EXHIBIT 9–3

96TH CONGRESS, 2d Session } SENATE { REPORT No. 96–1042

RELATING TO PUBLIC ACCESS TO SENATE RECORDS AT THE NATIONAL ARCHIVES

DECEMBER 1 (legislative day, NOVEMBER 20), 1980.—Ordered to be printed

Mr. ROBERT C. BYRD (for Mr. PELL), from the Committee on Rules and Administration, submitted the following

REPORT

[To accompany S. Res. 474]

The Committee on Rules and Administration, to which was referred the resolution (S. Res. 474) relating to public access to Senate records at the National Archives, having considered the same, reports favorably thereon with amendments to the text and an amendment to the preamble, and recommends that the resolution as amended be agreed to.

PURPOSE

On February 24, 1977, the Temporary Select Committee to Study the Senate Committee System recommended, with regard to Senate committee records, that:

> The Senate adopt a resolution directing that all noncurrent committee records be opened within a certain reasonable time after their creation except where a committee declares that personal privacy, national security, or other national interest requiries continued confidentiality. Each committee should state clearly which records may be made available earlier than the time period specified in the resolution and under what procedures. All statements of committee policy governing access to non-current records should be published in the Congressional Record and filed with the Secretary of the Senate, the Senate Historical Office, and the Archivist.

Five weeks later, on March 31, 1977, the National Study Commission on the Records and Documents of Federal Officials, in its report to Congress, recommended that "unpublished records of Congress deposited at the National Archives should be made available (to the public) immediately, except for those (sensitive) materials that (would) fall under the exemptions included in the Freedom of Information and Privacy Acts." The Commission noted that the records of Congress are

an invaluable source of information about the legislative process, "yet the rules governing access are so varied and inconsistent that the records themselves go unused." The Commission concluded that uniform standards for orderly disposition and access within a reasonable period of time would greatly contribute to greater public knowledge and interest in the legislative branch of the government.

The purpose of this resolution is to adopt the recommendations of the Temporary Select Committee and the Study Commission and to express the sense of the Senate that its non-current records, under proper safeguards, should be systematically available for public use. Specifically, this resolution will clarify the Secretary of the Senate's responsibility, under the provisions of Rule XI, for providing access to the records of the Senate and its committees at the National Archives.

Over the years Senate committees have made individual arrangements with the National Archives governing access. Some committees open the records at the time they transfer them. Others set a specific time period ranging from 10 to 20 years. Still others require researchers to petition them on a case-by-case basis, regardless of the records' age. In the past, many committees have not taken the opportunity to review regularly their access policies. As a result, access to many committee records at the National Archives is currently controlled by agreements prepared, as long as fifteen years ago, by chairmen who are no longer members of the Senate. Additionally, many committees have gone out of existence without making specific provisions for control of their records. This great variety of regulations has created considerable confusion and has often resulted in access to similar, but separate, bodies of records being granted in some cases and denied in others.

This resolution would result in the opening of all routine Senate records at the National Archives twenty years from the date of their creation. Sensitive records, such as investigative files relating to individuals and containing personal data, personnel records, and records of executive nominations would be opened within fifty years of their creation. All records would be subject to the National Archives' routine screening procedures.

The resolution would do nothing to interfere with Senate committees' control of their own records. They may extend or shorten the access period for portions, or all, of their records, and the Secretary of the Senate would provide them the opportunity to review their existing policy at the beginning of each Congress.

BACKGROUND

The Senate maintains at the National Archives more than fifteen thousand cubic feet of its permanent records. Dating from 1789, the collection includes both floor and committee papers. It consists of manuscript journals and minutes of legislative proceedings; bills and resolutions; memoranda and reports of Senate committees; petitions and memorials from organizations and individuals; and files relating to treaties, nominations, and impeachments. These materials are basic sources for the study and understanding not only of the Senate's history and role in the legislative process, but also of the general history of the American people.

Of particular importance are Senate committee records. Properly preserved, they contain evidence of each committee's organization and functions, furnish a complete legislative history of individual bills and laws, and serve as a rich source of reference material for topics within a committee's jurisdiction. Committee records are vital component of the Senate's institutional "memory." Although much of the Senate's business is routinely placed in the public record through the publication of committee hearings. legislative reports and floor proceedings, unpublished committee records provide important additional information about Senate decision-making processes.

In 1937, acute shortage of storage space on Capitol Hill prompted the Senate to authorize its Secretary to transfer to the newly-opened National Archives Building all records which he "may deem not necessary for use in the current business of the Senate" (S. Res. 99, 75–1, March 29, 1937). Nearly a decade later the Legislative Reorganization Act of 1946 (44 U.S.C. 2114) provided a uniform policy of records disposition for the entire Congress It stipulated that "the Secretary of the Senate and the Clerk of the House of Representatives are authorized and directed, acting jointly, to obtain at the close of each Congress, all of the non-current records of the Congress and of each committee thereof and transfer them to the National Archives for preservation, subject to the orders of the Senate and House respectively." This provision has been incorporated into Rule XI of the Standing Rules of the Senate.

Implicit in a program of records preservation is the question of records access. Even before Senate records were transferred to the National Archives in 1937, scholars recognized their value. In 1936, a National Archives appraiser examined the entire collection and concluded that "from the standpoint of historical as well as intrinsic interest, this is perhaps the most valuable collection of records in the entire United States Government." In recent times the staff of the National Archives has reportedly spent an average of 2,200 hours per year responding to mail, telephone, and in-person requests for information believed to be contained in Senate records.

Although phsycial custody of Senate and House records is now the responsibility of the National Archives, control, including decisions governing public access, remains with the originating body. For their own non-current records, individual Senate committees establish specific access policies. The National Archives is reluctant to accept records unaccompanied by a plan for eventual public access. Many routine Senate records lend themselves to immediate opening. Unprinted transcripts of public hearings are a good example of frequently requested committee files. Other records, such as staff memoranda and general legislative correspondence, tend to lose their sensitivity within a decade. Lengthier restrictions, ranging from twenty to fifty years, are appropriate in the case of investigative files, personnel records, nomination files, and documents bearing executive agency classifications. In addition to Senate-imposed restrictions, the National Archives also screens records prior to their release to ensure the protection of personal privacy and national security interests. The provisions of the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act of 1974 (4 U.S.C. 552a) do not apply to the records of Congress, but their spirit generally governs committee decisions to grant access to previously-restricted records.

In 1978, Congress enacted the Presidential Records Act (92 Stat. 2523), requiring that future presidents, upon leaving office, turn over their official records to the National Archives. Subject to carefully delineated exemptions, the records are to be opened to the public not later than twelve years after the conclusion of the president's final term. Also during 1978, the president issued Executive Order 12065 requiring that classified information "constituting permanently valuable records of the Government . . . shall be reviewed for declassification as it becomes twenty years old." In limited and highly-defined cases, classification may be extended for an additional ten years. These two measures along with the 1974 Freedom of Information and Privacy acts, underscore Congress' and the administration's commitment to opening government records at the earliest possible date consistent with personal privacy and national security considerations.

IMPLEMENTATION

Upon the adoption of this resolution, the Secretary of the Senate will write to the chairman of each standing, select, and special committee of the Senate. He will enclose a copy of the resolution and suggest that the committee review its provisions with regard to the following specific categories of committee records:

Investigative files relating to individuals and containing personal data: open through 1929;

Personnel records: open through 1929;

Executive nomination records: open through 1929;

Legislative bill files: open through 1959;

Minutes of committee meetings: open through 1959;

Executive communications: open through 1959;

Correspondence of the chairman, members, and staff: open through 1959;

Subject files: open through 1959;

Unprinted transcripts of closed hearings: open through 1959, unless marked "Secret" or "Top Secret" in which case they will be subject to review by the committee, or if the committee is defunct, the National Archives' declassification office;

Unprinted transcripts of public hearings: no restriction;

Committee publications (hearings, committee prints): no restriction (except for "confidential committee prints", which are generally preliminary drafts of committee reports, which will be open through 1959);

Petitions and memorials: open through 1959; and

Press clippings and releases: no restriction.

If a committee, acting through its chairman, chooses to establish alternative opening dates for any or all of the above categories, the chairman should so inform the Archivist of the United States, National Archives Building, Washington, D.C., 20408, with an information copy to the Secretary of the Senate. If the Archivist of the United States has not received notification from a committee within sixty days of the adoption of this resolution, he will assume that, until informed to the contrary, the provisions of this resolution will govern access to that committee's records in his custody.

The provisions of this resolution apply only to Senate records located within the National Archives Building.

COMMITTEE AMENDMENTS

The Committee on Rules and Administration has amended Senate Resolution 474 by striking "XXX" where it appears and inserting in lieu thereof "XI". These technical amendments are necessary as a result of the adoption of Senate Resolution 389, agreed to March 25, 1980, which consolidated and renumbered certain Standing Rules of the Senate.

The committee has also amended the resolution by striking "so transferred" on page 3, line 2, and inserting in lieu thereof "pursuant to section 2". This is a clarifying amendment designed to make clear that section 3(a) applies only to records which have not been made public prior to transfer to the General Services Administration.

Appendix

The following list of significant Senate records at the National Archives was prepared in 1958 at the request of the Special Committee on Senate Memorabilia. It is representative of numerous documents in the Senate's collection of interest and research value.

1. Inaugural address of George Washington. April 30, 1789.
2. Copy of John Langdon's letter to George Washington notifying him of his election. April 6, 1789.
3. Report of committee to consider under what title the Senate shall address the President. May 11, 1789.
4. Resolutions of the mayor, aldermen, and commonalty of the city of New York, tendering to Congress the use of the city hall. April 6, 1789.
5. Messages of the President of September 11, 24, and 25, 1789, and nominations for the Department of the Treasury, for the Department of War, for the Secretary of State, for the Attorney General, for Postmaster General, for the Supreme Court, and for judges and marshals.
6. Message of the President communicating a report from the Secretary of State relative to American citizens held as prisoners in Algiers. December 30, 1790.
7. Rough drafts of proposed amendments to the Constitution. 1789 (Bill of Rights).
8. Messages of the President transmitting acts of State legislatures, ratifying the articles of amendments to the Constitution proposed by Congress to the legislatures of the several States. 1790.
9. Electoral votes and credentials of Senators. 1789.
10. Inaugural address of John Adams. March 4, 1797.
11. Message of the President announcing the death of George Washington. December 19, 1799.
12. Motions and resolutions of the Senate regarding the death of George Washington, also the expenses of the funeral. 1799.
13. Reply of President John Adams to the address of the Senate on the death of General George Washington. December 23, 1799.
14. Message of the President enclosing a letter of Mrs. Martha Washington relative to resolutions of the Senate, on the death of George Washington. January 8, 1800.
15. Address of Vice President Jefferson to the Senate in retiring from the chair of the Senate. February 28, 1801.
16. Annual message of President Thomas Jefferson. December 8, 1801.
17. Message of President Jefferson to the Senate, nominating Livingston and Monroe as ministers plenipotentiary to arrange for the purchase of New Orleans. January 11, 1803.
18. Messages of President Jefferson of October 17 and 21, 1803, January 16, 1804, and copies of the treaty and conventions of April 30, 1803, between the United States and France, providing for the cession of Louisiana to the United States.

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19. Message of President Madison recommending a repeal of the embargo and nonimportation laws. March 31, 1814.

20. Message of President Madison recommending a declaration of war by the United States against the Dey and Regency of Algiers. February 23, 1815.

21. Annual message of President Monroe. December 2, 1823 (Monroe Doctrine).

22. Message of President Lincoln recommending the adoption of a joint resolution by Congress in relation to the gradual emancipation of slaves. March 7, 1862.

23. Annual messages of President Lincoln. December 1, 1862, December 9, 1863, and December 6, 1864.

24. Letters of President Wilson of July 25 and August 8, 1919, to the chairman of the Senate Committee on Foreign Relations relative to the treaty with Germany, also a letter of July 11, 1918, regarding independence of Poland.

25. Impeachment records of the following persons:

1. William Blount, Fifth Congress, 1798–99.
2. John Pickering, Eighth Congress, 1803–04.
3. Samuel Chase, Eighth Congress, 1804–05.
4. James Peck, Twenty-first Congress, 1830–31.
5. William H. Humphreys, Thirty-seventh Congress, 1862.
6. President Andrew Johnson, Fortieth Congress, 1868.
7. W. W. Belknap, Forty-fourth Congress, 1876.
8. Robert W. Archibald, Sixty-second Congress, 1912–13.
9. George F. English, Sixty-ninth Congress, 1926.
10. Harold Lauderback, Seventy-third Congress, 1933.
11. Halsted L. Ritter, Seventy-fourth Congress, 1936.

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MEMORANDUM

To: The Honorable Walter J. Stewart

From: Michael Davidson MD

Date: June 9, 1987

This memorandum addresses two questions about the status of Senate records. The first concerns the ownership of correspondence, memoranda, electronic records and other data of Senate committee staff prepared or received by them pursuant to their responsibilities as committee employees.*/ The second concerns the obligation of Senate committees to preserve in the National Archives records that they originally obtained from an executive agency.

Section 202(d) of the Legislative Reorganization Act of 1946, 2 U.S.C. § 72a(d), and Senate Standing Rule XI(2), make clear that the records of Senate committees are the property of the Senate. 2 U.S.C. § 72a(d) provides in part:

> All committee hearings, records, data, charts, and files shall be kept separate and distinct from the congressional office records of the Member serving as chairman of the committee; and such records shall be the property of the Congress and all members

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*/ The Secretary has an interest in the proper definition of committee records because, by statute and Senate rule, the Secretary is required to obtain noncurrent records from committees and to transfer those records to the National Archives. See 44 U.S.C. § 2118 (Supp. III 1985); Senate Standing Rule XI(2).

> of the committee and the respective Houses shall have access to such records.

See also Senate Standing Rule XXVI(10)(a)("such records shall be the property of the Senate and all members of the committee and the Senate shall have access to such records.")

2 U.S.C. § 72a(d) applies to "all" records of a committee, and 44 U.S.C. § 2118 applies to "all" noncurrent records. The "all" in 2 U.S.C. § 72a(d) modifies every category which follows, including "files." There is no tenable distinction between "committee files" and "staff files." All records created or received by Senate committee staff in connection with Senate committee business are the property of the Senate.

There are statutory parallels for a broad definition of Senate records. For example, the Copyright Act precludes copyright protection for "any work of the United States Government," 17 U.S.C. § 105, which it defines to be "a work prepared by an officer or employee of the United States Government as part of that person's official duties," id., § 101. Also, 44 U.S.C. § 3301 defines "records," for the purposes of a chapter on the disposal of records of federal agencies, as "all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made ... in connection with the transaction of public business and preserved or appropriate for preservation...."

A reasonable exception may be made for materials of a purely private nature. Executive branch regulations implementing 44 U.S.C. § 3301 recognize the possibility that there may be, in the office of a federal official, "[p]apers of a private or nonofficial character which pertain only to an individual's personal affairs"; the regulations provide that these papers should be clearly designated as nonofficial and kept separately from the records of the office. 36 C.F.R. § 1222.20(d). Also, materials such as telephone message slips and appointment calendars, which are created and retained for the convenience of individual officials and are not distributed to other employees, are not "agency records" under the Freedom of Information Act. Bureau of National Affairs v. U.S. Department of Justice, 742 F.2d 1484, 1495-96 (D.C. Cir. 1984). These authorities, although not controlling for congressional records, may suggest a commonsense approach to the definition of Senate records.

One further limitation is suggested by 44 U.S.C § 3301, which excepts from the general definition of records "extra copies of documents preserved only for convenience of reference." With respect to Senate documents, this exception should be limited to extra copies of public documents in order to preserve the ability of the Senate and its committees to maintain the confidentiality of closed Senate records.

Occasionally questions arise whether committees should preserve documents which were obtained originally from executive agencies in the course of conducting committee investigative or oversight responsibilities. In general copies of documents that were provided to a committee have, by virtue of their provision and use, become Senate committee records, which should be preserved along with the committee's other records.

An agency's concerns about maintaining the confidentiality of records that it generated can be accommodated while complying with the requirement that all noncurrent Senate committee records be preserved. Senate Resolution 474, 96th Cong., 2d Sess. (1980), provides that nonpublic committee records which have been transferred to the Archives shall remain nonpublic for twenty years after their creation, or, in the case of investigative files relating to individuals, for fifty years. In addition, the resolution permits committees, by action of the full committee, to prescribe a different period of confidentiality or to stipulate specific conditions of public access. Flexible use of this authority should be sufficient to accommodate any executive concerns about preserving Senate records that were generated outside the Senate. To the extent that agency concerns are grounded in specific legal requirements of confidentiality, pertaining, for example, to grand jury records, wiretap information, tax return information, or

classified national security documents, section 3(a) of the resolution excepts from the disclosure provisions documents whose disclosure is legally prohibited.

The only exception to the requirement that committees preserve documents within their possession that originated in an executive agency applies to documents that never legally became Senate records. Reference to case law under the Freedom of Information Act suggests that documents would fail to become committee records only if control over them has not passed from an agency to a committee and if they are not subject to the committee's free disposition. This standard would probably be satisfied only if an agency had merely loaned its document to a committee, with an explicit contemporaneous understanding between the agency and the committee, at the time the document was loaned, that the document was to be returned to the agency when the committee no longer needed it. It should not ordinarily be necessary for committees to enter into such agreements with agencies, since the applicable Senate rule and resolution provide adequate flexibility to accommodate agencies' confidentiality concerns in the course of preserving Senate records.

2 U.S.C. 72a-le. § 111 (c)

(1) A Senator may designate employees in his office to assist him in connection with his membership on committees of the Senate. An employee may be designated with respect to only one committee.

(2) An employee designated by a Senator under this subsection shall be certified by him to the chairman and ranking minority member of the committee with respect to which such designation is made. Such employee shall be accorded all privileges of a professional staff member (whether permanent or investigatory) of such committee including access to all committee sessions and files, except that any such committee may restrict access to its sessions to one staff member per Senator at a time and require, if classified material is being handled or discussed, that any staff member possess the appropriate security clearance before being allowed access to such material or to discussion of it. Nothing contained in this paragraph shall be construed to prohibit a committee from adopting policies and practices with respect to the application of this subsection which are similar to the policies and practices adopted with respect to the application of section 705 (c) (1) of Senate Resolution 4, 95th Congress, and section 106 (c) (1) of the Supplemental Appropriations Act, 1977

SENATE STANDING RULE XI

PAPERS—WITHDRAWAL, PRINTING, READING OF, AND REFERENCE

1. No memorial or other paper presented to the Senate, except original treaties finally acted upon, shall be withdrawn from its files except by order of the Senate.

2. The Secretary of the Senate shall obtain at the close of each Congress all the noncurrent records of the Senate and of each Senate committee and transfer them to the National Archives for preservation, subject to the orders of the Senate.

SENATE STANDING RULE XXVI

COMMITTEE PROCEDURE

10. (a) All committee hearings, records, data, charts, and files shall be kept separate and distinct from the congressional office records of the Member serving as chairman of the committee; and such records shall be the property of the Senate and all members of the committee and the Senate shall have access to such records. Each committee is authorized to have printed and bound such testimony and other data presented at hearings held by the committee.

44 U.S.C.

§ 2118. Records of Congress

The Secretary of the Senate and the Clerk of the House of Representatives, acting jointly, shall obtain at the close of each Congress all the noncurrent records of the Congress and of each congressional committee and transfer them to the National Archives and Records Administration for preservation, subject to the orders of the Senate or the House of Representatives, respectively.

(Pub. L. 90-620, Oct.22, 1968, 82 Stat. 1291, § 2114; renumbered and amended Pub. L. 98-497, Title I, §§ 102(a)(1), 107(a)(10), Oct. 19, 1984, 98 Stat. 2280, 2286)

1984 Amendment. Pub. L. 98-497 substituted "National Archives and Records Administration" for "General Services Administrations".

Effective Date of 1984 Amendment. Amendment by Pub. L. 98-497 effective on April 1, 1985, see section 301 of Pub. L. 98-497 set out as note under section 2102 of this title.

Legislative History. For legislative history and purpose of Pub. L. 98-497, see 1984 U.S. Code Cong. and Adm. News, p. 3865.

2 U.S.C. § 72a.

(d) Recordation of committee hearings, data, etc.; access to records

All committee hearings, records, data, charts, and files shall be kept separate and distinct from the congressional office records of the Member serving as chairman of the committee; and such records shall be the property of the Congress and all members of the committee and the respective Houses shall have access to such records. Each committee is authorized to have printed and bound such testimony and other data presented at hearings held by the committee.

TO: All New Committee Staff

Committee staff are responsible for safeguarding committee records, especially those of long-term value to the committee and the Senate.

Ownership and disposition of these records is governed by Senate Rules. Senate Rule XXVI states that "all committee hearings, records, data, charts, and files shall be kept separate and distinct from the congressional office records of the Member serving as chairman of the committee; and such records shall be the property of the Senate..." Senate Rule XI states that "No memorial or other paper presented to the Senate, except original treaties finally acted upon, shall be withdrawn from its files except by order of the Senate. The Secretary shall obtain at the close of each Congress all noncurrent records of the Senate and of each Senate committee and transfer them to the National Archives for preservation...."

Records of permanent value include all documents, electronic files, microfilm, audio recordings, and other information, regardless of media that are created, received and maintained by staff as a result of performing committee business. This includes records documenting staff work on legislation, oversight, investigations, reviews of nominations and treaties, press relations and certain administrative files.

At the end of each Congress, noncurrent records should be identified and readied for transfer to the archives. Contact the Senate Archivist, Karen Paul, 4-3351, for assistance with the appraisal and transfer.

36 CFR Ch. XII (7-1/85 Edition) subsection 1228.188. Machine-readable records:

(a) Magnetic tape. Computer magnetic tape is a fragile medium, highly susceptible to the generation of error by improper care and handling. To ensure that permanently valuable information stored on magnetic tape is preserved, Federal agencies should schedule files for disposition as soon as possible after the tapes are written. When NARA has determined that a file is worthy of preservation, the agency should transfer the file to the National Archives as soon as it becomes inactive or whenever the agency cannot provide proper care and handling of the tapes (see Part 1234 of this Chapter) to guarantee the preservation of the information they contain. The tapes to be transferred to the National Archives shall be one-half inch 7 or 9 track tape reels, written in ASCII or EBCDIC, with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block, or file), blocked no higher than 30,000 bytes per block, at 800, 1600, or 6250 bpi. The tapes on which the data are recorded shall be new or recertified tapes (see Part 1234 of this chapter) which have been passed over a tape cleaner before writing and shall be rewound under controlled tension.

(b) Other magnetic media. When a machine-readable file that has been designated for preservation by NARA is maintained on a direct access storage device, the file shall be written on new or recertified one-half inch 7 or 9 track tapes, written in ASCII or EBCDIC, with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum, word, field, block, or file), blocked no higher than 30,000 bytes per block, at 800, 1600, or 6250 bpi. This copy shall be transferred to the National Archives.

(c) Documentation. Documentation adequate for servicing and interpreting machine-readable records that have been designated for preservation by NARA shall be transferred with them. This documentation shall include, but not necessarily be limited to completed Standard Form 277, Computer Magnetic Tape File Properties, or its equivalent. When it has been necessary to strip data of extraneous control characters (see paragraphs (a) and (b) of this section), the codebook specifications defining the data elements and their values must match the new format of the data. Guidelines for determining adequate documentation may be obtained from the Office of Records Administration (mailing address: National Archives (NI), Washington, DC 20408).

36 CFR Ch. XII (7-1-85 Edition) § 1234.4. Care, Handling, and Storage of Magnetic Computer Tapes and Disk Packs

Magnetic computer media needs special handling to prevent the loss of information. The following standards should be observed in centralized computer rooms as well as decentralized computer support activities.

(a) Test and certify media no more than 6 months before using them to record information designated for permanent retention.

(b) When writing tapes, verify them as error free.

(c) Annually read a 3-percent statistical sample of all reels of tape to identify any loss of data and to discover its causes. If errors are detected, attempt to eliminate them and the causes of the errors. Replace tapes with 10 or more errors and, when possible, restore lost data.

(d) Ensure that information is not lost because of changing technology or deteriorating magnetic media by updating magnetic media to provide compatibility with the agency's hardware and software.

(e) Label magnetic media externally to include the name of the organizational unit responsible for the data; file title(s); dates of creation and coverage; the recording density; type of internal labels, if applicable; data set names(s), if applicable; volume serial number; number of tracks; character code/software dependency; record length; block size; and reel sequence number, if the file is part of a multi-reel set.

(f) Separate magnetic media containing permanent records from those containing temporary records.

(g) Maintain adequate and up-to-date technical documentation with the file. Minimum documentation is a narrative description of the file(s); physical file characteristics; recording mode information, including the coding structure (code books); recording system information; and a record layout. The record layout should break down the file by fields. Each field will have a name, size, starting position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric).

(h) Keep a duplicate copy of the data at an off-site location for security backup.

(i) Maintain the operating, storage, and test areas for computer magnetic media at the following recommended temperatures and relative humidities:

Constant Temperature—60° to 72° F.
Constant Relative Humidity—40% to 50%

(j) Allow only authorized personnel to enter storage libraries and computer rooms. Prohibit smoking, eating, and drinking in computer rooms, storage libraries, and rehabilitation areas, and keep them as clean as possible.

(k) Transfer the original or a duplicate copy of the file to the National Archives at the time specified in the records disposition schedule in accordance with instructions found in § 1228.188. Transfer may take place at an earlier date if convenient for both the agency and the National Archives.

50 U.S.C. § 421-422

SUBCHAPTER IV—PROTECTION OF CERTAIN NATIONAL SECURITY INFORMATION [NEW]

§ 421. Protection of identities of certain United States undercover intelligence officers, agents, informants, and sources

(a) Disclosure of information by persons having or having had access to classified information that identifies a covert agent

Whoever, having or having had authorized access to classified information that identifies a covert agent, intentionally discloses any information identifying such covert agent to any individual not authorized to receive classified information, knowing that the information disclosed so identifies such covert agent and that the United States is taking affirmative measures to conceal such covert agent's intelligence relationship to the United States, shall be fined not more than $50,000 or imprisoned not more than ten years, or both.

(b) Disclosure of information by persons who learn identity of covert agents as a result of having access to classified information

Whoever, as a result of having authorized access to classified information, learns the identity of a covert agent and intentionally discloses any information identifying such covert agent to any individual not authorized to receive classified information, knowing that the information disclosed so identifies such covert agent and that the United States is taking affirmative measures to conceal such covert agent's intelligence relationship to the United States, shall be fined not more than $25,000 or imprisoned not more than five years, or both.

(c) Disclosure of information by persons in course of pattern of activities intended to identify and expose covert agents

Whoever, in the course of a pattern of activities intended to identify and expose covert agents and with reason to believe that such activities would impair or impede the foreign intelligence activities of the United States, discloses any information that identifies an individual as a covert agent to any individual not authorized to receive classified information, knowing that the information disclosed so identifies such individual and that the United States is taking affirmative measures to conceal such individual's classified intelligence relationship to the United States, shall be fined not more than $15,000 or imprisoned not more than three years, or both.

(July 26, 1947, c. 343, Title VI, § 601, as added June 23, 1982, Pub. L. 97-200, § 2(a), 96 Stat. 122.)

Legislative History. For legislative history and purpose of Pub. L. 97-200, see 1982 U.S. Code Cong. and Adm. News, p. 145.

§ 422. Defenses and exceptions

(a) Disclosure by United States of identity of covert agent

It is a defense to a prosecution under section 421 of this title that before the commission of the offense with which the defendant is charged, the United States had publicly acknowledged or revealed the intelligence relationship to the United States of the individual the disclosure of whose intelligence relationship to the United States is the basis for the prosecution.

(b) Conspiracy, misprision of felony, aiding and abetting, etc.

(1) Subject to paragraph (2), no person other than a person committing an offense under section 421 of this title shall be subject to prosecution under such section by virtue of section 2 or 4 of Title 18 or shall be subject to prosection for conspiracy to commit an offense under such section.

(2) Paragraph (1) shall not apply (A) in the case of a person who acted in the course of a pattern of activities intended to identify and expose covert agents and with reason to believe that such activities would impair or impede the foreign intelligence activities of the United States, or (B) in the case of a person who has authorized access to classified information.

(c) Disclosure to select Congressional committees on intelligence

It shall not be an offense under section 421 of this title to transmit information described in such section directly to the Select Committee on Intelligence of the Senate or to the Permanent Select Committee on Intelligence of the House of Representatives.

(d) Disclosure by agent of own identity

It shall not be an offense under section 421 of this title for an individual to disclose information that solely identifies himself as a covert agent.

(July 26, 1947, c. 343, Title VI, § 602, as added June 23, 1982, Pub. L. 97-200, § 2(a), 96 Stat. 122.)

Legislative History. For legislative history and purpose of Pub. L. 97-200, see 1982 U.S. Code Cong. and Adm. News, p. 145.

50 U.S.C. § 1801-1802

CHAPTER 36—FOREIGN INTELLIGENCE SURVEILLANCE

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§ 1801. Definitions

As used in this chapter:

(a) "Foreign power" means—

(1) a foreign government or any component thereof, whether or not recognized by the United States;

(2) a faction of a foreign nation or nations, not substantially composed of United States persons;

(3) an entity that is openly acknowledged by a foreign government or governments to be directed and controlled by such foreign government or governments;

(4) a group engaged in international terrorism or activities in preparation therefor;

(5) a foreign-based political organization, not substantially composed of United States persons; or

(6) an entity that is directed and controlled by a foreign government or governments.

(b) "Agent of a foreign power" means—

(1) any person other than a United States person, who—

(A) acts in the United States as an officer or employee of a foreign power or as a member of a foreign power as defined in subsection (a)(4) of this section;

(B) acts for or on behalf of a foreign power which engages in clandestine intelligence activities in the United States contrary to the interests of the United States, when the circumstances of such person's presence in the United States indicate that such person may engage in such activities in the United States, or when such person knowingly aids or abets any person in the conduct of such activities or knowingly conspires with any person to engage in such activities; or

(2) any person who—

(A) knowingly engages in clandestine intelligence gathering activities for or on behalf of a foreign power, which activities involve or may involve a violation of the criminal statutes of the United States;

(B) pursuant to the direction of an intelligence service or network of a foreign power, knowingly engages in any other clandestine intelligence activities for or on behalf of such foreign power, which activities involve or are about to involve a violation of the criminal statutes of the United States;

(C) knowingly engages in sabotage or international terrorism, or activities that are in preparation therefor, or on behalf of a foreign power; or

(D) knowingly aids or abets any person in the conduct of activities described in subparagraph (A), (B), or (C) or knowingly conspires with any person to engage in activities described in subparagraph (A), (B), or (C).

(c) "International terrorism" means activities that—

(1) involve violent acts or acts dangerous to human life that are a violation of the criminal laws of the United States or of any State, or that would be a criminal violation if committed within the jurisdiction of the United States or any State;

(2) appear to be intended—

(A) to intimidate or coerce a civilian population;

(B) to influence the policy of a government by intimidation or coercion; or

(C) to affect the conduct of a government by assassination or kidnapping; and

(3) occur totally outside the United States, or transcend national boundaries in terms of the means by which they are accomplished, the persons they appear intended to coerce or intimidate, or the locale in which their perpetrators operate or seek asylum.

(d) "Sabotage" means activities that involve a violation of chapter 105 of Title 18, or that would involve such a violation if committed against the United States.

(e) "Foreign intelligence information" means—

(1) information that relates to, and if concerning a United States person is necessary to, the ability of the United States to protect against—

(A) actual or potential attack or other grave hostile acts of a foreign power or an agent of a foreign power;

(B) sabotage or international terrorism by a foreign power or an agent of a foreign power; or

(C) clandestine intelligence activities by an intelligence service or network of a foreign power or by an agent of a foreign power; or

(2) information with respect to a foreign power or foreign territory that relates to, and if concerning a United States person is necessary to—

(A) the national defense or the security of the United States; or

(B) the conduct of the foreign affairs of the United States.

(f) "Electronic surveillance" means—

(1) the acquisition by an electronic, mechanical, or other surveillance device of the contents of any wire or radio communication sent by or intended to be received by a particular, known United States person who is in the United States, if the contents are acquired by intentionally targeting that United States person, under circumstances in which a person has a reasonable expectation of privacy and a warrant would be required for law enforcement purposes;

(2) the acquisition by an electronic, mechanical, or other surveillance device of the contents of any wire communication to or from a person in the United States, without the consent of any party thereto, if such acquisition occurs in the United States;

(3) the intentional acquisition by an electronic, mechanical, or other surveillance device of the contents of any radio communication, under circumstances in which a person has a reasonable expectation of privacy and a warrant would be required for law enforcement purposes, and if both the sender and all intended recipients are located within the United States; or

(4) the installation or use of an electronic, mechanical, or other surveillance device in the United States for monitoring to acquire information, other than from a wire or radio communication, under circumstances in which a person has a reasonable expectation of privacy and a warrant would be required for law enforcement purposes.

(g) "Attorney General" means the Attorney General of the United States (or Acting Attorney General) or the Deputy Attorney General.

(h) "Minimization procedures", with respect to electronic surveillance, means—

(1) specific procedures, which shall be adopted by the Attorney General, that are reasonably designed in light of the purpose and technique of the particular surveillance, to minimize the acquisition and retention, and prohibit the dissemination, of nonpublicly available information concerning unconsenting United States persons consistent

with the need of the United States to obtain, produce, and disseminate foreign intelligence information;

(2) procedures that require that nonpublicly available information, which is not foreign intelligence information, as defined in subsection (e)(1) of this section, shall not be disseminated in a manner that identifies any United States person, without such person's consent, unless such person's identity is necessary to understand foreign intelligence information or assess its importance;

(3) notwithstanding paragraphs (1) and (2), procedures that allow for the retention and dissemination of information that is evidence of a crime which has been, is being, or is about to be committed and that is to be retained or disseminated for law enforcement purposes; and

(4) notwithstanding paragraphs (1), (2), and (3), with respect to any electronic surveillance approved pursuant to section 1802(a) of this title, procedures that require that no contents of any communication to which a United States person is a party shall be disclosed, disseminated, or used for any purpose or retained for longer than twenty-four hours unless a court order under section 1805 of this title is obtained or unless the Attorney General determines that the information indicates a threat of death or serious bodily harm to any person.

(i) "United States person" means a citizen of the United States, an alien lawfully admitted for permanent residence (as defined in section 1101(a)(20) of Title 8), an unincorporated association a substantial number of members of which are citizens of the United States or aliens lawfully admitted for permanent residence, or a corporation which is incorporated in the United States, but does not include a corporation or an association which is a foreign power, as defined in subsection (a)(1), (2), or (3) of this section.

(j) "United States", when used in a geographic sense, means all areas under the territorial sovereignty of the United States and the Trust Territory of the Pacific Islands.

(k) "Aggrieved person" means a person who is the target of an electronic surveillance or any other person whose communications or activities were subject to electronic surveillance.

(*l*) "Wire communication" means any communication while it is being carried by a wire, cable, or other like connection furnished or operated by any person engaged as a common carrier in providing or operating such facilities for the transmission of interstate or foreign communications.

(m) "Person" means any individual, including any officer or employee of the Federal Government, or any group, entity, association, corporation, or foreign power.

(n) "Contents", when used with respect to a communication, includes any information concerning the identity of the parties to such communication or the existence, substance, purport, or meaning of that communication.

(*o*) "State" means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Trust Territory of the Pacific Islands, and any territory or possession of the United States.

(Pub.L. 95-511, Title I, § 101, Oct. 25, 1978, 92 Stat. 1783.)

Short Title. Section 1 of Pub.L. 95-511 provided: "That this Act [enacting this chapter, amending sections 2511, 2518 and 2519 of Title 18, Crimes and Criminal Procedure, and enacting provision set out as a note under this section] may be cited as the 'Foreign Intelligence Surveillance Act of 1978'."

Effective Date. Section 301 of Pub.L. 95-511 provided that: "The provisions of this Act [enacting this chapter, amending sections 2511, 2518 and 2519 of Title 18, Crimes and Criminal Procedure, and enacting provision set out as a note under this section] and the amendments made hereby shall become effective upon the date of enactment of this Act [Oct. 25, 1978], except that any electronic surveillance approved by the Attorney General to gather foreign intelligence information shall not be deemed unlawful for failure to follow the procedures of this Act, if that surveillance is terminated or an order approving that surveillance is obtained under title I of this Act [this chapter] within ninety days following the designation of the first judge pursuant to section 103 of this Act [section 1803 of this title]."

Legislative History. For legislative history and purpose of Pub.L. 95-511, see 1978 U.S. Code Cong. and Adm.News, p. 3904.

Notes of Decisions

1. Aggrieved person

"Aggrieved person" should be interpreted identically under section 2510 et seq. of Title 18 and this chapter, and thus if person lacks standing to challenge a wiretap under the former, he also lacks standing under the latter. In re Flanagan, D.C.N.Y.1982, 533 F.Supp. 957.

§ 1802. Electronic surveillance authorization without court order; certification by Attorney General; reports to congressional committees; transmittal under seal; duties and compensation of communication common carrier; applications; jurisdiction of court

(a)(1) Notwithstanding any other law, the President, through the Attorney General, may authorize electronic surveillance without a court order under this chapter to acquire foreign intelligence information for periods of up to one year if the Attorney General certifies in writing under oath that—

(A) the electronic surveillance is solely directed at—

(i) the acquisition of the contents of communications transmitted by means of communications used exclusively between or among foreign powers, as defined in section 1801(a)(1), (2), or (3) of this title; or

(ii) the acquisition of technical intelligence, other than the spoken communications of individuals, from property or premises under the open and exclusive control of a foreign power, as defined in section 1801(a)(1), (2), or (3) of this title;

(B) there is no substantial likelihood that the surveillance will acquire the contents of any communication to which a United States person is a party; and

(C) the proposed minimization procedures with respect to such surveillance meet the definition of minimization procedures under section 1801(h) of this title; and

if the Attorney General reports such minimization procedures and any changes thereto to the House Permanent Select Committee on Intelligence and the Senate Select Committee on Intelligence at least thirty days prior to their effective date, unless the Attorney General determines immediate action is required and notifies the committees immediately of such minimization procedures and the reason for their becoming effective immediately.

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18 U.S.C. § 1905

CHAPTER 93—PUBLIC OFFICERS AND EMPLOYEES

§ 1905. Disclosure of confidential information generally

Whoever, being an officer or employee of the United States or of any department or agency thereof, or agent of the Department of Justice as defined in the Antitrust Civil Process Act (15 U.S.C. 1311-1314), publishes, divulges, discloses, or makes known in any manner or to any extent not authorized by law any information coming to him in the course of his employment or official duties or by reason of any examination or investigation made by, or return, report or record made to or filed with, such department or agency or officer or employee thereof, which information concerns or relates to the trade secrets, processes, operations, style of work, or apparatus, or to the identity, confidential statistical data, amount or source of any income, profits, losses, or expenditures of any person, firm, partnership, corporation, or association; or

permits any income return or copy thereof or any book containing any abstract or particulars thereof to be seen or examined by any person except as provided by law; shall be fined not more than $1,000, or imprisoned not more than one year, or both; and shall be removed from office or employment.

As amended Sept. 12, 1980, Pub.L. 96-349, § 7(b), 94 Stat. 1158.

1980 Amendment. Pub.L. 96-349 provided for punishment and removal from office of an agent of the Department of Justice as defined in the Anitrust Civil Process Act for disclosure of confidential information.

Legislative History. For legislative history and purpose of Pub.L. 96-349, see 1980 U.S.Code Cong. and Adm.News, p. 2716.

Federal Practice and Procedure. Explicit exception for disclosure in response to judicial subpoena, see Wright & Graham: Evidence § 5437.

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50 U.S.C. § 403

CENTRAL INTELLIGENCE AGENCY

(a) There is hereby established under the National Security Council a Central Intelligence Agency with a Director of Central Intelligence who shall be the head thereof, and with a Deputy Director of Central Intelligence who shall act for, and exercise the powers of, the Director during his absence or disability. The Director and the Deputy Director shall be appointed by the President, by and with the advice and consent of the Senate, from among the commissioned officers of the armed services, whether in an active or retired status, or from among individuals in civilian life: *Provided, however,* That at no time shall the two positions of the Director and Deputy Director be occupied simultaneously by commissioned officers of the armed services, whether in an active or retired status.

(b)(1) If a commissioned officer of the armed services is appointed as Director, or Deputy Director, then—

(A) in the performance of his duties as Director, or Deputy Director, he shall be subject to no supervision, control, restriction, or prohibition (military or otherwise) other than would be operative with respect to him if he were a civilian in no way connected with the Department of the Army, the Department of the Navy, the Department of the Air Force, or the armed services or any component thereof; and

(B) he shall not possess or exercise any supervision, control, powers, or functions (other than such as he possesses, or is authorized or directed to exercise, as Director, or Deputy Director) with respect to the armed services or any component thereof, the Department of the Army, the Department of the Navy, or the Department of the Air Force, or any branch, bureau, unit, or division thereof, or with respect to any of the personnel (military or civilian) of any of the foregoing.

(2) Except as provided in paragraph (1), the appointment to the office of Director, or Deputy Director, of a commissioned officer of the armed services, and his acceptance of and service in such office, shall in no way affect any status, office, rank, or grade he may occupy or hold in the armed services, or any emolument, perquisite, right, privilege, or benefit incident to or arising out of any status, office, rank, or grade. Any such commissioned officer shall, while serving in the office of Director, or Deputy Director, continue to hold rank and grade not lower than that in which serving at the time of his appointment and to receive the military pay and allowance (active or retired, as the case may be, including personal money allowance) payable to a commissioned officer of his grade and length of service for which the appropriate department shall be reimbursed from any funds available to defray the expenses of the Central Intelligence Agency. He also shall be paid by the Central Intelligence Agency from such funds an annual compensation at a rate equal to the amount by which the compensation established for such position exceeds the amount of his annual military pay and allowances.

(3) The rank or grade of any such commissioned officer shall, during the period in which such commissioned officer occupies the office of Director of Central Intelligence, or Deputy Director of Central Intelligence, be in addition to the numbers and percentages otherwise authorized and appropriated for the armed service of which he is a member.

(c) Notwithstanding the provisions of section 6 of the Act of August 24, 1912 (37 Stat. 555),[4] or the provisions of any other law, the Director of Central Intelligence may, in his discretion, terminate the employment of any officer or employee of the Agency whenever he shall deem such termination necessary or advisable in the interests of the United States, but such termination shall not affect the right of such officer or employee to seek or accept employment in any other department or agency of the Government if declared eligible for such employment by the United States Civil Service Commission.[5]

(d) For the purpose of coordinating the intelligence activities of the several Government departments and agencies in the interest of national security, it shall be the duty of the Agency, under the direction of the National Security Council—

(1) to advise the National Security Council in matters concerning such intelligence activities of the Government departments and agencies as relate to national security;

(2) to make recommendations to the National Security Council for the coordination of such intelligence activities of the departments and agencies of the Government as relate to the national security;

(3) to correlate and evaluate intelligence relating to the national security, and provide for the appropriate dissemination of such intelligence within the Government using where appropriate existing agencies and facilities: *Provided,* That the Agency shall have no police, subpena, law-enforcement powers, or internal-security functions: *Provided further,* That the departments and other agencies of the Government shall continue to collect, evaluate, correlate, and disseminate departmental intelligence: *And provided further,* That the Director of Central Intelligence shall be responsible for protecting intelligence sources and methods for unauthorized disclosure;

(4) to perform, for the benefit of the existing intelligence agencies, such additional services of common concern as the National Security Council determines can be more efficiently accomplished centrally;

(5) to perform such other functions and duties related to intelligence affecting the national security as the National Security Council may from time to time direct.

(e) To the extent recommended by the National Security Council and approved by the President, such intelligence of the departments and agencies of the Government, except as hereinafter provided, relating to the national security shall be open to the inspection of the Director of Central Intelligence, and such intelligence as relates to the national security and is possessed by such departments and other agencies of the Government, except as hereinafter provided, shall be made available to the Director of Central Intelligence for correlation, evaluation, and dissemination: *Provided however,* That upon the written request of the Director of Central Intelligence, the Director of the Federal Bureau of Investigation shall make available to the Director of Central Intelligence such information for correlation, evaluation, and dissemination as may be essential to the national security.

(f) Effective when the Director first appointed under subsection (a) has taken office—

(1) the National Intelligence Authority (11 Fed. Reg. 1337, 1339, February 5, 1946) shall cease to exist; and

(2) the personnel, property, and records of the Central Intelligence Group are transferred to the Central Intelligence Agency, and such Group shall cease to exist. Any unexpended balances of appropriations, allocations, or other funds available or authorized to be made available for such Group shall be available and shall be authorized to be made available in like manner for expenditure by the Agency.

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[4] The cited Act of August 24, 1912, was repealed by the law enacting title 5, United States Code (Pubic Law 89-544, Sept. 6, 1966, 80 Stat. 378). The provisions of section 6 of the Act were codified as section 7501 of title 5.

[5] The functions of the Civil Service Commission were transferred to the Director of the Office of Personnel Management by section 102 of Reorganization Plan No. 2 of 1978 (92 Stat. 3783; 5 U.S.C. 1101 note).

50 U.S.C. § 783

Certain Prohibited Acts

(a) It shall be unlawful for any person knowingly to combine, conspire, or agree with any other person to perform any act which would substantially contribute to the establishment within the United States of a totalitarian dictatorship, as defined in paragraph (15) of section 3 of this title, the direction and control of which is to be vested in, or exercised by or under the domination or control of, any foreign government, foreign organization, or foreign individual: *Provided, however,* That this subsection shall not apply to the proposal of a constitutional amendment.

(b) It shall be unlawful for any officer or employee of the United States or of any department or agency thereof, or of any corporation the stock of which is owned in whole or in major part by the United States or any department or agency thereof, to communicate in any manner or by any means, to any other person whom such officer or employee knows or has reason to believe to be an agent or representative of any foreign government or an officer or member of any Communist organization as defined in paragraph (5) of section 3 of this title, any information of a kind which shall have been classified by the President (or by the head of any such department, agency, or corporation with the approval of the President) as affecting the security of the United States, knowing or having reason to know that such information has been so classified, unless such officer or employees shall have been specifically authorized by the President, or by the head of the department, agency, or corporation by which this officer or employee is employed, to make such disclosure of such information.

(c) It shall be unlawful for any agent or representative of any foreign government, or any officer or member of any Communist organization as defined in paragraph (5) of section 3 of this title, knowingly to obtain or receive, or attempt to obtain or receive, directly or indirectly, from any officer or employee of the United States or of any department or agency thereof or of any corporation the stock of which is owned in whole or in major part by the United States or any department or agency thereof, any information of a kind which shall have been classified by the President (or by the head of any such department, agency, or corporation with the approval of the President) as affecting the security of the United States, unless special authorization for such communication shall first have been obtained from the head of the department, agency, or corporation, having custody of or control over such information.

(d) Any person who violates any provision of this section shall, upon conviction thereof, be punished by a fine of not more than $10,000, or imprisonment for not more than ten years, or by both such fine and such imprisonment, and shall, moreover, be thereafter ineligible to hold any office, or place of honor, profit, or trust created by the Constitution or laws of the United States.

(e) Any person may be prosecuted, tried, and punished for any violation of this section at any time within ten years after the commission of such offense, notwithstanding the provisions of any other statute of limitations: *Provided,* That if at the time of the commission of the offense such person is an officer or employee of the United States or of any department or agency thereof, or of any corporation the stock of which is owned in whole or in major part by the United States or any department or agency thereof, such person may be prosecuted, tried, and punished for any violation of this section at any time within ten years after such person has ceased to be employed as such officer or employee.

(f) Neither the holding of office nor membership in any Communist organization by any person shall constitute per se a violation of subsection (a) or subsection (c) of this section or of any other criminal statute.

18 U.S.C. § 952

Diplomatic codes and correspondence

Whoever, by virtue of his employment by the United States, obtains from another or has or has had custody of or access to, any official diplomatic code or any matter prepared in any such code, or which purports to have been prepared in any such code, and without authorization or competent authority, willfully publishes or furnishes to another any such code or matter, or any matter which was obtained while in the process of transmission between any foreign government and its diplomatic mission in the United States, shall be fined not more than $10,000 or imprisoned not more than ten years, or both.

5 U.S.C. § 552

(The "Freedom of Information Act")

Public information; agency rules, opinions, orders, records, and proceedings

(a) Each agency shall make available to the public information as follows:

(1) Each agency shall separately state and currently publish in the Federal Register for the guidance of the public—

(A) descriptions of its central and field organization and the established places at which, the employees (and in the case of a uniformed service, the members) from whom, and the methods whereby, the public may obtain information, make submittals or requests, or obtain decisions;

(B) statements of the general course and method by which its functions are channeled and determined, including the nature and requirements of all formal and infomal procedures available;

(C) rules of procedure, descriptions of forms available or the places at which forms may be obtained, and instructions as to the scope and contents of all papers, reports, or examinations;

(D) substantive rules of general applicability adopted as authorized by law, and statements of general policy or interpretations of general applicability formulated and adopted by the agency; and

(E) each amendment, revision, or repeal of the foregoing.

Except to the extent that a person has actual and timely notice of the terms thereof, a person may not in any manner be required to resort to, or be adversely affected by, a matter required to be published in the Federal Register and not so published. For the purpose of this paragraph, matter reasonably available to the class of persons affected thereby is deemed published in the Federal Register when incorporated by reference therein with the approval of the Director of the Federal Register.

(2) Each agency, in accordance with published rules, shall make available for public inspection and copying—

(A) final opinions, including concurring and dissenting opinions, as well as orders, made in the adjudication of cases;

(B) those statements of policy and interpretations which have been adopted by the agency and are not published in the Federal Register; and

(C) administrative staff manuals and instructions to staff that affect a member of the public;

unless the materials are promptly published and copies offered for sale. To the extent required to prevent a clearly unwarranted invasion of personal privacy, an agency may delete identifying details when it makes available or publishes an opinion, statement of policy, interpretation, or staff manual or instruction. However, in each case the justification for the deletion shall be explained fully in writing. Each agency shall also maintain and make available for public inspection and copying current indexes providing identifying information for the public as to any matter issued, adopted, or promulgated after July 4, 1967, and required by this paragraph to be made available or published. Each agency shall promptly publish, quarterly or more frequently, and distribute (by sale or otherwise) copies of each index or supplements thereto unless it determines by order published in the Federal Register that the publication would be unnecessary and impracticable, in

which case the agency shall nonetheless provide copies of such index on request at a cost not to exceed the direct cost of duplication. A final order, opinion, statement of policy, interpretation, or staff manual or instruction that affects a member of the public may be relied on, used, or cited as precedent by an agency against a party other than an agency only if—

(i) it has been indexed and either made available or published as provided by this paragraph; or

(ii) the party has actual and timely notice of the terms thereof.

(3) Except with respect to the records made available under paragraphs (1) and (2) of this subsection, each agency, upon any request for records which (A) reasonably describes such records and (B) is made in accordance with published rules stating the time, place, fees (if any), and procedures to be followed, shall make the records promptly available to any person.

(4)(A) In order to carry out the provisions of this section, each agency shall promulgate regulations, pursuant to notice and receipt of public comments, specifying a uniform schedule of fees applicable to all constituent units of such agency. Such fees shall be limited to reasonable standard charges for document search and duplication and provide for recovery of only the direct costs of such search and duplication. Documents shall be furnished without charge or at a reduced charge where the agency determines that waiver or reduction of the fee is in the public interest because furnishing the information can be considered as primarily benefiting the general public.

(B) On complaint, the district court of the United States in the district in which the complainant resides, or has his principal place of business, or in which the agency records are situated, or in the District of Columbia, has jurisdiction to enjoin the agency from withholding agency records and to order the production of any agency records improperly withheld from the complainant. In such a case the court shall determine the matter de novo, and may examine the contents of such agency records in camera to determine whether such records or any part thereof shall be withheld under any of the exemptions set forth in subsection (b) of this section, and the burden is on the agency to sustain its action.

(C) Notwithstanding any other provision of law, the defendant shall serve an answer or otherwise plead to any complaint made under this subsection within thirty days after service upon the defendant of the pleading in which such complaint is made, unless the court otherwise directs for good cause shown.

(D) Except as to cases the court considers of greater importance, proceedings before the district court, as authorized by this subsection, and appeals therefrom, take precedence on the docket over all cases and shall be assigned for hearing and trial or for argument at the earliest practicable date and expedited in every way.

(E) The court may assess against the United States reasonable attorney fees and other litigation costs reasonably incurred in any case under this section in which the complainant has substantially prevailed.

(F) Whenever the court orders the production of any agency records improperly withheld from the complainant and assesses against the United States reasonable attorney fees and other litigation costs, and the court additionally issues a written finding that the circumstances surrounding the withholding raise questions whether agency personnel acting arbitrarily or capriciously with respect to the withholding, the Special Counsel shall promptly initiate a proceeding to determine whether disciplinary action is warranted against the officer or employee who was primarily responsible for the withholding. The Special Counsel, after investigation and consideration of the evidence submitted, shall submit his findings and recommendations to the administrative authority of the agency concerned and shall send copies of the findings and recommendations to the officer or employee or his representative. The administrative authority shall take the corrective action that the Special Counsel recommends.

(G) In the event of noncompliance with the order of the court, the district court may punish for contempt the responsible employee, and in the case of a uniformed service, the responsible member.

(5) Each agency having more than one member shall maintain and make available for public inspection a record of the final votes of each member in every agency proceeding.

(6)(A) Each agency, upon any request for record made under paragraph (1), (2), or (3) of this subsection, shall—

(i) determine within ten days (excepting Saturdays, Sundays, and legal public holidays) after the receipt of any such request whether to comply with such request and shall immediately notify the person making such request of such determination and the reasons therefor, and of the right of such person to appeal to the head of the agency any adverse determination; and

(ii) make a determination with respect to any appeal within twenty days (excepting Saturdays, Sundays, and legal public holidays) after the receipt of such appeal. If on appeal the denial of the request for records is in whole or in part upheld, the agency shall notify the person making such request of the provisions for judicial review of that determination under paragraph (4) of this subsection.

(B) In unusual circumstances as specified in this subparagraph, the time limits prescribed in either clause (i) or clause (ii) of subparagraph (A) may be extended by written notice to the person making such request setting forth the reasons for such extension and the date on which a determination is expected to be dispatched. No such notice shall specify a date that would result in an extension for more than ten working days. As used in this subparagraph, "unusual circumstances" means, but only to the extent reasonably necessary to the proper processing of the particular request—

(i) the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request;

(ii) the need to search for, collect, and appropriately examine a voluminous amount of separate and distinct records which are demanded in a single request; or

(iii) the need for consultation, which shall be conducted with all practicable speed, with another agency having a substantial interest in the determination of the request or among two or more components of the agency having substantial subject-matter interest therein.

(C) Any person making a request to any agency for records under paragraph (1), (2), or (3) of this subsection shall be deemed to have exhausted his administrative remedies with respect to such request if the agency fails to comply with the applicable time limit provisions of this paragraph. If the Government can show exceptional circumstances exist and that the agency is exercising due diligence in responding to the request, the court may retain jurisdiction and allow the agency additional time to complete its review of the records. Upon any determination by an agency to comply with a request for records, the records shall be made promptly available to such person making such request. Any notification of denial of any request for records under this subsection shall set forth the names and titles or positions of each person responsible for the denial of such request.

(b) This section does not apply to matters that are—

(1)(A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) are in fact properly classified pursuant to such Executive order;

(2) related solely to the internal personnel rules and practices of an agency;

(3) specifically exempted from disclosure by statute (other than section 552b of this title), provided that such statute (A) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld;

(4) trade secrets and commercial or financial information obtained from a person and privileged or confidential;

(5) inter-agency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;

(6) Personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;

(7) investigatory records compiled for law enforcement purposes, but only to the extent that the production of such records would (A) interfere with enforcement proceedings, (B) deprive a person of a right to a fair trial or an impartial adjudication, (C) constitute an unwarranted invasion of personal privacy, (D) disclose the identity of a confidential source and, in the case of a record compiled by a criminal law enforcement authority in the course of a criminal investigation, or by an agency conducting a lawful national security intelligence investigation, confidential information furnished only by the confidential source, (E) disclose investigative techniques and procedures, or (F) endanger the life or physical safety of law enforcement personnel;

(8) contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions; or

(9) geological and geophysical information and data, including maps, concerning wells.

Any reasonably segregable portion of a record shall be provided to any person requesting such record after deletion of the portions which are exempt under this subsection.

(c) This section does not authorize withholding of information or limit the availability of records to the public, except as specifically stated in this section. This section is not authority to withhold information from Congress.

(d) On or before March 1 of each calendar year, each agency shall submit a report covering the preceding calendar year to the Speaker of the House of Representatives and President of the Senate for referral to the appropriate committees of the Congress. The report shall include—

(1) the number of determinations made by such agency not to comply with requests for records made to such agency under subsection (a) and the reasons for each such determination;

(2) the number of appeals made by persons under subsection (a)(6), the result of such appeals, and the reason for the action upon each appeal that results in a denial of information;

(3) the names and titles or positions of each person responsible for the denial of records requested under this section, and the number of instances of participation for each;

(4) the results of each proceeding conducted pursuant to subsection (a)(4)(F), including a report of the disciplinary action taken against the officer or employee who was primarily responsible for improperly withholding records or an explanation of why disciplinary action was not taken;

(5) a copy of every rule made by such agency regarding this section;

(6) a copy of the fee schedule and the total amount of fees collected by the agency for making records available under this section; and

(7) such other information as indicates efforts to administer fully this section.

The Attorney General shall submit an annual report on or before March 1 of each calendar year which shall include for the prior calendar year a listing of the number of cases arising under this section, the exemption involved in each case, the disposition of such case, and the cost, fees, and penalties assessed under subsections (a)(4)(E), (F) and (G). Such reports shall also include a description of the efforts undertaken by the Department of Justice to encourage agency compliance with this section.

(e) For purposes of this section, the term "agency" as defined in section 551(1) of this title includes any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency.

5 U.S.C. § 552a

Records maintained on individuals

(a) Definitions.—For purposes of this section—

(1) the term "agency" means agency as defined in section 552(e) of this title;

(2) the term "individual" means a citizen of the United States or an alien lawfully admitted for permanent residence;

(3) the term "maintain" includes maintain, collect, use, or disseminate;

(4) the term "record" means any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph;

(5) the term "system of records" means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual;

(6) the term "statistical record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual, except as provided by section 8 of title 13; and

(7) the term "routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected.

(b) Conditions of Disclosure.—No agency shall disclose any record which is contained in a system of records by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless disclosure of the record would be—

(1) to those officers and employees of the agency which maintains the record who have a need for the record in the performance of their duties;

(2) required under section 552 of this title;

(3) for a routine use as defined in subsection (a)(7) of this section and described under subsection (e)(4)(D) of this section;

(4) to the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13;

(5) to a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) to the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the agency which maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) to a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(9) to either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(10) to the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office;

(11) pursuant to the order of a court of competent jurisdiction; or

(12) to a consumer reporting agency in accordance with section 3711(f) of title 31.

(c) Accounting of Certain Disclosures.—Each agency, with respect to each system of records under its control, shall—

(1) except for disclosures made under subsections (b)(1) or (b)(2) of this section, keep an accurate accounting of—

(A) the date, nature, and purpose of each disclosure of a record to any person or to another agency made under subsection (b) of this section; and

(B) the name and address of the person or agency to whom the disclosure is made;

(2) retain the accounting made under paragraph (1) of this subsection for at least five years or the life of the record, whichever is longer, after the disclosure for which the accounting is made;

(3) Except for disclosures made under subsection (b)(7) of this section, make the accounting made under paragraph (1) of this subsection available to the individual named in the record at his request; and

(4) inform any person or other agency about any correction or notation of dispute made by the agency in accordance with subsection (d) of this section of any record that has been disclosed to the person or agency if an accounting of the disclosure was made.

(d) Access to Records.—Each agency that maintains a system of records shall—

(1) upon request by any individual to gain access to his record or to any information pertaining to him which is contained in the system, permit him and upon his request, a person of his own choosing to accompany him, to review the record and have a copy made of all or any portion thereof in a form comprehensible to him, except that the agency may require the individual to furnish a written statement authorizing discussion of that individual's record in the accompanying person's presence;

(2) permit the individual to request amendment of a record pertaining to him and—

(A) not later than 10 days (excluding Saturdays, Sundays, and legal public holidays) after the date of receipt of such request, acknowledge in writing such receipt; and

(B) promptly, either—

(i) make any correction of any portion thereof which the individual believes is not accurate, relevant, timely, or complete; or

(ii) inform the individual of its refusal to amend the record in accordance with his requests, the reason for the refusal, the procedures established by the agency for the individual to request a review of that refusal by the head of the agency or an officer designated by the head of the agency, and the name and business address of that official;

(3) permit the individual who disagrees with the refusal of the agency to amend his record to request a review of such refusal, and not later than 30 days (excluding Saturdays, Sundays, and legal public holidays) from the date on which the individual requests such review, complete such review and make a final determination unless, for good cause shown, the head of the agency extends such 30-day period; and, if after his review, the reviewing official also refuses to amend the record in accordance with the request, permit the individual to file with the agency a concise statement setting forth the reasons for his disagreement with the refusal of the agency, and notify the individual of the provisions for judicial review of the reviewing official's determination under subsection (g)(1)(A) of this section;

(4) in any disclosure, containing information about which the individual has filed a statement of disagreement, occurring after the filing of the statement under paragraph (3) of this subsection, clearly note any portion of the record which is disputed and provide copies of the statement and, if the agency deems it appropriate, copies of a concise statement of the reasons of the agency for not making the amendments requested, to persons or other agencies to whom the disputed record has been disclosed; and

(5) nothing in this section shall allow an individual access to any information compiled in reasonable anticipation of a civil action or proceeding.

(e) Agency Requirements.—Each agency that maintains a system of records shall—

(1) maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or by executive order of the President;

(2) collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs;

(3) inform each individual whom it asks to supply information, on the form which it uses to collect the information or on a separate form that can be retained by the individual—

(A) the authority (whether granted by statute, or by executive order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary;

(B) the principal purpose or purposes for which the information is intended to be used;

(C) the routine uses which may be made of the information, as published pursuant to paragraph (4)(D) of this subsection; and

(D) the effects on him, if any, of not providing all or any part of the requested information;

(4) subject to the provisions of paragraph (11) of this subsection, publish in the Federal Register upon establishment or revision a notice of the existence and character of the system of records, which notice shall include—

(A) the name and location of the system;

(B) the categories of individuals on whom records are maintained in the system;

(C) the categories of records maintained in the system;

(D) each routine use of the records contained in the system, including the categories of users and the purpose of such use;

(E) the policies and practices of the agency regarding storage, retrievability, access controls, retention and disposal of the records;

(F) the title and business address of the agency official who is responsible for the system of records;

(G) the agency procedures whereby an individual can be notified at his request if the system of records contains a record pertaining to him;

(H) the agency procedures whereby an individual can be notified at his request how he can gain access to any record pertaining to him contained in the system of records, and how he can contest its content; and

(I) the categories of sources of records in the system;

(5) maintain all records which are used by the agency in making any determination about any individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination;

(6) prior to disseminating any record about an individual to any person other than an agency, unless the dissemination is made pursuant to subsection (b)(2) of this section, make reasonable efforts to assure that such records are accurate, complete, timely, and relevant for agency pruposes;

(7) maintain no record describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authroized law enforcement activity;

(8) make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record;

(9) establish rules of conduct for persons involved in the design, development, operation, or maintenance of any system of records, or in maintaining any record, and instruct each such person with respect to such rules and the requirements of this section, including any other rules and proce-

dures adopted pursuant to this section and the penalties for noncompliance;

(10) establish appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records and to protect against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarrassment, inconvenience, or unfairness to any invididual on whom information in maintained; and

(11) at least 30 days prior to publication of information under paragraph (4)(D) of this subsection, publish in Federal Register notice on any new use or intended use of the information in the system, and provide an opportunity for interested persons to submit written data, views, or arguments, to the agency.

(f) Agency Rules.—In order to carry out the provisions of this section, each agency that maintains a system of records shall promulgate rules, in accordance with the requirements (including general notice) of section 553 of this title, which shall—

(1) establish procedures whereby an individual can be notified in response to his request if any system of records named by the individual contains a record pertaining to him;

(2) define reasonable times, places, and requirements for identifying an individual who requests his record of information pertaining to him before the agency shall make the record or information available to the individual;

(3) establish procedures for the disclosure to an individual upon his request of his record or information pertaining to him, including special procedure, if deemed necessary, for the disclosure to an individual of medical records, including psychological records pertaining to him;

(4) establish procedures for reviewing a request from an individual concerning the amendment to any record or information pertaining to the individual, for making a determination on the request, for an appeal within the agency of an initial adverse agency determination, and for whatever additional means may be necessary for each individual to be able to exercise fully his rights under this section; and

(5) establish fees to be charged, if any, to any individual for making copies of his record, excluding the cost of any search for and review of the record.

The Office of the Federal Register shall annually compile and publish the rules promulgated under this subsection and agency notices published under subsection (e)(4) of this section in a form available to the public at low cost.

(g)(1) Civil Remedies.—Whenever any agency—

(A) makes a determination under subsection (a)(3) of this section not to amend an individual's record in accordance with his request, or fails to make such review in conformity with that subsection;

(B) refuses to comply with an individual request under subsection (d)(1) of this section;

(C) fails to maintain any record concerning any individual with such accuracy, relevance, timeliness, and completeness as is necessary to assure fairness in any determination relating to the qualification, character, rights, or opportunities of, or benefits to the individual that may be made on the basis of such record, and consequently a determination is made which is adverse to the individual; or

(D) fails to comply with any other provision of this section, or any rule promulgated thereunder, in such a way as to have an adverse effect on an individual,

the individual may bring a civil action against the agency, and the district courts of the United States shall have jurisdiction in the matters under the provisions of this subsection.

(2)(A) In any suit brought under the provisions of subsection (g)(1)(A) of this section, the court may order the agency to amend the individual's record in accordance with his request or in such other way as the court may direct. In such a case the court shall determine the matter de novo.

(B) The court may assess against the United States reasonable attorney fees and other litigation costs reasonably incurred in any case under this paragraph in which the complainant has substantially prevailed.

(3)(A) In any suit brought under the provisions of subsection (g)(1)(B) of this section, the court may enjoin the agency from withholding the records and order the production to the complainant of any agency records improperly withheld from him. In such a case the court shall determine the matter de novo, and may examine the contents of any agency records in camera to determine whether the records or any of the exemptions set forth in subsection (k) of this section, and the burden is on the agency to sustain its action.

(B) The court may assess against the United States reasonable attorney fees and other litigation costs reasonably incurred in any case under this paragraph in which the complainant has substantially prevailed.

(4) In any suit brought under the provisions of subsection (g)(1)(C) or (D) of this section in which the court determines that the agency acted in a manner which was intentional or willful, the United States shall be liable to the individual in an amount equal to the sum of—

(A) actual damages sustained by the individual as a result of the refusal or failure, but in no case shall a person entitled to recovery receive less than the sum of $1,000; and

(B) the costs of the action together with reasonable attorney fees as determined by the court.

(5) an action to enforce any liability created under this section may be brought in the district court of the United States in the district in which the complainant resides, or has his principal place of business, or in which the agency records are situated, or in the District of Columbia, without regard to the amount in controversy, within two years from the date on which the cause of action arises, except that where an agency has materially and willfully misrepresented any information required under this section to be disclosed to an individual and the information so misrepresented is material to establishment of the liability of the agency to the individual under this section, the action may be brought at any time within two years after discovery by the individual of the misrepresentation. Nothing in this section shall be construed to authorize any civil action by reason of any injury sustained as the result of a disclosure of a record prior to September 27, 1975.

(h) Rights of Legal Guardians.—For the purposes of this section, the parent of any minor, or the legal guardian of any individual who has been declared to be incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, may act on behalf of the individual.

(i)(1) Criminal Penalties.—Any officer or employee of an agency, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by this section or by rules or regulations established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

(2) Any officer or employee of any agency who willfully maintains a system of records without meeting the notice requirements of subsection (e)(4) of this section shall be guilty of a misdemeanor and fined not more than $5,000.

(3) Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000.

(j) General Exemptions.—The head of any agency may promulgate rules, in accordance with the requirements (including general notice) of sections 553(b) (1), (2), and (3), (c), and (e) of this title, to exempt any system of records within the agency from any part of this section except subsections (b), (c) (1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i) if the system of records is—

(1) maintained by the Central Intelligence Agency; or

(2) maintained by an agency or component thereof which performs as its principal function any activity pertaining to the enforcement of criminal laws, including police efforts to prevent, control, or reduce crime or to apprehend criminals, and the activities of prosecutors, courts, correctional, probation, pardon, or parole authorities, and which consists of (A) information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (B) information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with

an identifiable individual; or (C) reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal laws from arrest or indictment through release from supervision.

At the time rules are adopted under this subsection, the agency shall include in the statement required under section 553(c) of this title, the reasons why the system of records is to be exempted from a provision of this section.

(k) Specific Exemptions.—The head of any agency may promulgate rules, in accordance with the requirements (including general notice) of sections 553(b) (1), (2), and (3), (c), and (e) of this title, to exempt any systems of records within the agency from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (f) of this section if the system of records is—

(1) subject to the provisions of section 552(b)(1) of this title;

(2) investigatory material compiled for law enforcement purposes, other than material within the scope of subsection (j)(2) of this section: *Provided, however,* That if any individual is denied any right, privilege, or benefit that he would otherwise be entitled by Federal law, or for which he would otherwise be eligible, as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section [September 27, 1975], under an implied promise that the identity of the source would be held in confidence;

(3) maintained in connection with providing protective services to the President of the United States or other individuals purusant to section 3056 of title 18;

(4) required by statute to be maintained and used solely as statistical records;

(5) investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, of access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section [September 26, 1975], under an implied promise that the identity of the source would be held in confidence;

(6) testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process; or

(7) evaluation material used to determine potential for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section [September 27, 1975], under an implied promise that the identity of the source would be held in confidence.

At the time rules are adopted under this subsection, the agency shall include in the statement required under section 553(c) of this title the reasons why the system of records is to be exempted from a provision of this section.

(l)(1) Archival Records.—Each agency record which is accepted by the Administrator of General Services for storage, processing, and servicing in accordance with section 3103 of title 44 shall, for the purposes of this section, be considered to be maintained by the agency which deposited the record and shall be subject to the provisions of this section. The Administrator of General Services shall not disclose the record except to the agency which maintains the record, or under rules established by that agency which are not inconsistent with the provisions of this section.

(2) Each agency record pertaining to an identifiable individual which was transferred to the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, prior to the effective date of this section [September 27, 1975], shall, for the purposes of this section, be considered to be maintained by the National Archives and shall not be subject to the provisions of this section, except that a statement generally describing such records (modeled after the requirements relating to records subject to subsections (e)(4) (A) through (G) of this section) shall be published in the Federal Register.

Executive Order No. 12356 of National Security Information

(April 2, 1982, 47 F.R. 14874)

This Order prescribes a uniform system for classifying, declassifying, and safeguarding national security information. It recognizes that it is essential that the public be informed concerning the activities of its Government, but that the interests of the United States and its citizens require that certain information concerning the national defense and foreign relations be protected against unauthorized disclosure. Information may not be classified under this Order unless its disclosure reasonably could be expected to cause damage to the national security.

NOW, by the authority vested in me as President by the Constitution and laws of the United States of America, it is hereby ordered as follows:

Part 1

Original Classification

Section 1.1 *Classification Levels.*

(a) National security information (hereinafter "classified information") shall be classified at one of the following three levels:

(1) "Top Secret" shall be applied to information, the unauthorized disclosure of which reasonably could be expected to cause exceptionally grave damage to the national security.

(2) "Secret" shall be applied to information, the unauthorized disclosure of which reasonably could be expected to cause serious damage to the national security.

(3) "Confidential" shall be applied to information, the unauthorized disclosure of which reasonably could be expected to cause damage to the national security.

(b) Except as otherwise provided by statute, no other terms shall be used to identify classified information.

(c) If there is reasonable doubt about the need to classify information, it shall be safeguarded as if it were classified pending a determination by an original classification authority, who shall make this determination within thirty (30) days. If there is reasonable doubt about the appropriate level of classification, it shall be safeguarded at the higher level of classification pending a determination by an original classification authority, who shall make this determination within thirty (30) days.

Sec. 1.2 *Classification Authority.*

(a) *Top Secret.* The authority to classify information originally as Top Secret may be exercised only by:

(1) the President;

(2) agency heads and officials designated by the President in the Federal Register; and

(3) officials delegated this authority pursuant to Section 1.2(d).

(b) *Secret.* The authority to classify information originally as Secret may be exercised only by:

(1) agency heads and officials designated by the President in the Federal Register;

(2) officials with original Top Secret classification authority; and

(3) officials delegated such authority pursuant to Section 1.2(d).

(c) *Confidential.* The authority to classify information originally as Confidential may be exercised only by:

(1) agency heads and officials designated by the President in the Federal Register;

(2) officials with original Top Secret or Secret classification authority; and

(3) officials delegated such authority pursuant to Section 1.2(d).

(d) *Delegation of Original Classification Authority.*

(1) Delegations of original classification authority shall be limited to the minimum required to administer this Order. Agency heads are responsible for ensuring that designated subordinate officials have a demonstrable and continuing need to exercise this authority.

(2) Original Top Secret classification authority may be delegated only by the President; an agency head or official designated pursuant to Section 1.2(a)(2); and the senior official designated under Section 5.3(a)(1), provided that official has been delegated original Top Secret classification authority by the agency head.

(3) Original Secret classification authority may be delegated only by the President; an agency head or official designated pursuant to Sections 1.2(a)(2) and 1.2(b)(1); an official with original Top Secret classification authority; and the senior official designated under Section 5.3(a)(1), provided that official has been delegated original Secret classification authority by the agency head.

(4) Original Confidential classification authority may be delegated only by the President; an agency head or official designated pursuant to Sections 1.2(a)(2), 1.2(b)(1) and 1.2(c)(1); an official with original Top Secret classification authority; and the senior official designated under Section 5.3(a)(1), provided that official has been delegated original classification authority by the agency head.

(5) Each delegation of original classification authority shall be in writing and the authority shall not be redelegated except as provided in this Order. It shall identify the official delegated the authority by name or position title. Delegated classification authority includes the authority to classify information at the level granted and lower levels of classification.

(e) *Exceptional Cases.* When an employee, contractor, licensee, or grantee of an agency that does not have original classification authority originates information believed by that person to require classification, the information shall be protected in a manner consistent with this Order and its implementing directives. The information shall be transmitted promptly as provided under this Order or its implementing directives to the agency that has appropriate subject matter interest and classification authority with respect to this information. That agency shall decide within thirty (30) days whether to classify this information. If it is not clear which agency has classification responsibility for this information, it shall be sent to the Director of the Information Security Oversight Office. The Director shall determine the agency having primary subject matter interest and forward the information, with appropriate recommendations, to that agency for a classification determination.

Sec. 1.3 *Classification Categories.*

(a) Information shall be considered for classification if it concerns:

(1) military plans, weapons, or operations;

(2) the vulnerabilities or capabilities of systems, installations, projects, or plans relating to the national security;

(3) foreign government information;

(4) intelligence activities (including special activities), or intelligence sources or methods;

(5) foreign relations or foreign activities of the United States;

(6) scientific, technological, or economic matters relating to the national security;

(7) United States Government programs for safeguarding nuclear materials or facilities;

(8) cryptology;

(9) a confidential source; or

(10) other categories of information that are related to the national security and that require protection against unauthorized disclosure as determined by the President or by agency heads or other officials who have been delegated original classification authority by the President. Any determination made under this subsection shall be reported promptly to the Director of the Information Security Oversight Office.

(b) Information that is determined to concern one or more of the categories in Section 1.3(a) shall be classified when an original classification authority also determines that its unauthorized disclosure, either by itself or in the context of other information, reasonably could be expected to cause damage to the national security.

(c) Unauthorized disclosure of foreign government information, the identity of a confidential foreign source, or intelligence sources or methods is presumed to cause damage to the national security.

(d) Information classified in accordance with Section 1.3 shall not be declassified automatically as a result of any unofficial publication or inadvertent or unauthorized disclosure in the United States or abroad of identical or similar information.

Sec. 1.4 *Duration of Classification.*

(a) Information shall be classified as long as required by national security considerations. When it can be determined, a specific date or event for declassification shall be set by the original classification authority at the time the information is originally classified.

(b) Automatic declassification determinations under predecessor orders shall remain valid unless the classification is extended by an authorized official of the originating agency. These extensions may be by individual documents or categories of information. The agency shall be responsible for notifying holders of the information of such extensions.

(c) Information classified under predecessor orders and marked for declassification review shall remain classified until reviewed for declassification under the provisions of this Order.

Sec. 1.5 *Identification and Markings.*

(a) At the time of original classification, the following information shall be shown on the face of all classified documents, or clearly associated with other forms of classified information in a manner appropriate to the medium involved, unless this information itself would reveal a confidential source or relationship not otherwise evident in the document or information:

(1) one of the three classification levels defined in Section 1.1;

(2) the identity of the original classification if other than the person whose name appears as the approving or signing official;

(3) the agency and office of origin; and

(4) the date or event for declassification, or the notation "Originating Agency's Determination Required."

(b) Each classified document shall, by marking or other means, indicate which portions are classified, with the applicable classification level, and which portions are not classified. Agency heads may, for good cause, grant and revoke waivers of this requirement for specified classes of documents or information. The Director of the Information Security Oversight Office shall be notified of any waivers.

(c) Marking designations implementing the provisions of this Order, including abbreviations, shall conform to the standards prescribed in implementing directives issued by the Information Security Oversight Office.

(d) Foreign government information shall either retain its original classification or be assigned a United States classification that shall ensure a degree of protection at least equivalent to that required by the entity that furnished the information.

(e) Information assigned a level of classification under predecessor orders shall be considered as classified at that level of classification despite the omission of other required markings. Omitted markings may be inserted on a document by the officials specified in Section 3.1(b).

Sec. 1.6 *Limitations on Classification.*

(a) In no case shall information be classified in order to conceal violations of law, inefficiency, or administrative error; to prevent embarrassment to a person, organization, or agency; to restrain competition; or to prevent or delay the release of information that does not require protection in the interest of national security.

(b) Basic scientific research information not clearly related to the national security may not be classified.

(c) The President or an agency head or official designated under Sections 1.2(a)(2), 1.2(b)(1), or 1.2(c)(1) may reclassify information previously declassified and disclosed if it is determined in writing that (1) the information requires protection in the interest of national security; and (2) the information may reasonably be recovered. These reclassification actions shall be reported promptly to the Director of the Information Security Oversight Office.

(d) Information may be classified or reclassified after an agency has received a request for it under the Freedom of Information Act (5 U.S.C. 552) or the Privacy Act of 1974 (5 U.S.C. 552a), or the mandatory review provisions of this Order (Section 3.4) if such classification meets the requirements of this Order and is accomplished personally and on a document-by-document basis by the agency head, the deputy agency head, the senior agency official designated under Section 5.3(a)(1), or an official with original Top Secret classification authority.

Part 2

Derivative Classification

Sec. 2.1 *Use of Derivative Classification.*

(a) Derivative classification is (1) the determination that information is in substance the same as information currently classified, and (2) the application of the same classification markings. Persons who only reproduce, extract, or summarize classified information, or who only apply classification markings derived from source material or as directed by a classification guide, need not possess original classification authority.

(b) Persons who apply derivative classification markings shall:

(1) observe and respect original classification decisions; and

(2) carry forward to any newly created documents any assigned authorized markings. The declassification date or event that provides the longest period of classification shall be used for documents classified on the basis of multiple sources.

Sec. 2.2 *Classification Guides.*

(a) Agencies with original classification authority shall prepare classification guides to facilitate the proper and uniform derivative classification of information.

(b) Each guide shall be approved personally and in writing by an official who:

(1) has program or supervisory responsibility over the information or is the senior agency official designated under Section 5.3(a)(1); and

(2) is authorized to classify information orignally at the highest level of classification prescribed in the guide.

(c) Agency heads may, for good cause, grant and revoke waivers of the requirement to prepare classification guides for specified classes of documents or information. The Director of the Information Security Oversight Office shall be notified of any waivers.

Part 3

Declassification and Downgrading

Sec. 3.1 *Declassification Authority.*

(a) Information shall be declassified or downgraded as soon as national security considerations permit. Agencies shall coordinate their review of classified information with other agencies that have a direct interest in the subject matter. Information that continues to meet the classification requirements prescribed by Section 1.3 despite the passage of time will continue to be protected in accordance with this Order.

(b) Information shall be declassified or downgraded by the official who authorized the original classification, if that official is still serving in the same position; the originator's successor; a supervisory official of either; or officials delegated such authority in writing by the agency head or the senior agency official designated pursuant to Section 5.3(a)(1).

(c) If the Director of the Information Security Oversight Office determines that information is classified in violation of this Order, the Director may require the information to be declassified by the agency that originated the classification. Any such decision by the Director may be appealed to the National Security Council. The information shall remain classified, pending a prompt decision on the appeal.

(d) The provisions of this Section shall also apply to agencies that, under the terms of this Order, do not have orignial classification authority, but that had such authority under predecessor orders.

Sec. 3.2 *Transferred Information.*

(a) In the case of classified information transferred in conjunction with a transfer of functions, and not merely for storage purposes, the receiving agency shall be deemed to be the originating agency for purposes of this Order.

(b) In the case of classified information that is not officially transferred as described in Section 3.2(a), but that originated in an agency that has ceased to exist and for which there is no successor agency, each agency in possession of such information shall be deemed to be the originating agency for purposes of this Order. Such information may be declassified or downgraded by the agency in possession after consultation with any other agency that has an interest in the subject matter of the information.

(c) Classified information accessioned into the National Archives of the United States shall be declassified or downgraded by the Archivist of the United States in accordance with this Order, the directives of the Information Security Oversight Office, and agency guidelines.

Sec. 3.3 *Systematic Review for Declassification.*

(a) The Archivist of the United States shall, in accordance with procedures and timeframes prescribed in the Information Security Oversight Office's directives implementing this Order, systematically review for declassification or downgrading (1) classified records accessioned into the National Archives of the United States, and (2) classified presidential papers or records under the Archivist's control. Such information shall be reviewed by the Archivist for declassification or downgrading in accordance with systematic review guidelines that shall be provided by the head of the agency that originated the information, or in the case of foreign government information, by the Director of the Information Security Oversight Office in consultation with interested agency heads.

(b) Agency heads may conduct internal systematic review programs for classified information originated by their agencies contained in records determined by the Archivist to be permanently valuable but that have not been accessioned into the National Archives of the United States.

(c) After consultation with affected agencies, the Secretary of Defense may establish special procedures for systematic review for declassification of classified cryptologic information, and the Director of Central Intelligence may establish special procedures for systematic review for declassification of classified information pertaining to intelligence activities (including special activities), or intelligence sources or methods.

Sec. 3.4 *Mandatory Review for Declassification.*

(a) Except as provided in Section 3.4(b), all information classified under this Order or predecessor orders shall be subject to a review for declassification by the originating agency, if:

(1) the request is made by a United States citizen or permanent resident alien, a federal agency, or a State or local government; and

(2) the request describes the document or material containing the information with sufficient specificity to enable the agency to locate it with a reasonable amount of effort.

(b) Information originated by a President, the White House Staff, by committees, commissions, or boards appointed by the President, or others specifically providing advice and counsel to a President or acting on behalf of a President is exempted from the provisions of Section 3.4(a). The Archivist of the United States shall have the authority to review, downgrade and declassify information under the control of the Administrator of General Services or the Archivist pursuant to sections 2107, 2107 note, or 2203 of title 44, United States Code. Review procedures developed by the Archivist shall provide for consultation with agencies having primary subject matter interest and shall be consistent with the provisions of applicable laws or lawful agreements that pertain to the respective presidential papers or records. Any decision by the Archivist may be appealed to the Director of the Information Security Oversight Office. Agencies with primary subject matter interest shall be notified promptly of the Director's decision on such appeals and may further appeal to the National Security Council. The information shall remain classified pending a prompt decision on the appeal.

(c) Agencies conducting a mandatory review for declassification shall declassify information no longer requiring protection under this Order. They shall release this information unless withholding is otherwise authorized under applicable law.

(d) Agency heads shall develop procedures to process requests for the mandatory review of classified information. These procedures shall apply to information classified under this or predecessor orders. They shall also provide a means for administratively appealing a denial of a mandatory review requests.

(e) The Secretary of Defense shall develop special procedures for the review of cryptologic information, and the Director of Central Intelligence shall develop special procedures for the review of information pertaining to intelligence activities (including special activities), or intelligence sources or methods, after consultation with affected agencies. The Archivist shall develop special proce-

dures for the review of information accessioned into the National Archives of the United States.

(f) In response to a request for information under the Freedom of Information Act, the Privacy Act of 1974, or the mandatory review provisions of this Order:

(1) An agency shall refuse to confirm or deny the existence or non-existence of requested information whenever the fact of its existence or non-existence is itself classifiable under this Order.

(2) When an agency receives any request for documents in its custody that were classified by another agency, it shall refer copies of the request and the requested documents to the originating agency for processing, and may, after consultation with the originating agency, inform the requester of the referral. In cases in which the originating agency determines in writing that a response under Section 3.4(f)(1) is required, the referring agency shall respond to the requester in accordance with that Section.

Part 4

Safeguarding

Sec. 4.1 *General Restrictions on Access*

(a) A person is eligible for access to classified information provided that a determination of trustworthiness has been made by agency heads of designated officials and provided that such access is essential to the accomplishment of lawful and authorized Government purposes.

(b) Controls shall be established by each agency to ensure that classified information is used, processed, stored, reproduced, transmitted, and destroyed only under conditions that will provide adequate protection and prevent access by unauthorized persons.

(c) Classified information shall not be disseminated outside the executive branch except under conditions that ensure that the information will be given protection equivalent to that afforded within the executive branch.

(d) Except as provided by directives issued by the President through the National Security Council, classified information originating in one agency may not be disseminated outside any other agency to which it has been made available without the consent of the originating agency. For purposes of this Section, the Department of Defense shall be considered one agency.

Sec. 4.2 *Special Access Programs.*

(a) Agency heads designated pursuant to Section 1.2(a) may create special access programs to control access, distribution, and protection of particularly sensitive information classified pursuant to this Order or predecessor orders. Such programs may be created or continued only at the written direction of these agency heads. For special access programs pertaining to intelligence activities (including special activities but not including military operational, strategic and tactical programs), or intelligence sources or methods, this function will be exercised by the Director of Central Intelligence.

(b) Each agency head shall establish and maintain a system of accounting for special access programs. The Director of the Information Security Oversight Office, consistent with the provisions of Section 5.2(b)(4), shall have non-delegable access to all such accountings.

Sec. 4.3 *Access by Historical Researchers and Former Presidential Appointees.*

(a) The requirement in Section 4.1(a) that access to classified information may be granted only as is essential to the accomplishment of authorized and lawful Government purposes may be waived as provided in Section 4.3(b) for persons who:

(1) are engaged in historical research projects, or

(2) previously have occupied policy-making positions to which they were appointed by the President.

(b) Waivers under Section 4.3(a) may be granted only if the originating agency:

(1) determines in writing that access is consistent with the interest of national security;

(2) takes appropriate steps to protect classified information from unauthorized disclosure or compromise, and ensures that the information is safeguarded in a manner consistent with this Order; and

(3) limits the access granted to former presidential appointees to items that the person originated, reviewed, signed, or received while serving as a presidential appointee.

Part 5

Implementation and Review

Sec. 5.1 *Policy Direction.*

(a) The National Security Council shall provide overall policy direction for the information security program.

(b) The Administrator of General Services shall be responsible for implementing and monitoring the program established pursuant to this Order. The Administrator shall delegate the implementation and monitorship functions of this program to the Director of the Information Security Oversight Office.

Sec. 5.2 *Information Security Oversight Office*

(a) The Information Security Oversight Office shall have a full-time Director appointed by the Administrator of General Services subject to approval by the President. The Director shall have the authority to appoint a staff for the Office.

(b) The Director shall:

(1) develop, in consultation with the agencies, and promulgate, subject to the approval of the National Security Council, directives for the implementation of this Order, which shall be binding on the agencies;

(2) oversee agency actions to ensure compliance with this Order and implementing directives;

(3) review all agency implementing regulations and agency guidelines for systematic declassification review. The Director shall require any regulation or guideline to be changed if it is not consistent with this Order or implementing directives. Any such decision by the Director may be appealed to the National Security Council. The agency regulation or guideline shall remain in effect pending a prompt decision on the appeal;

(4) have the authority to conduct on-site reviews of the information security program of each agency that generates or handles classified information and to require of each agency those reports, information, and other cooperation that may be necessary to fulfill the Director's responsibilities. If these reports, inspections, or access to specific categories of classified information would pose an exceptional national security risk, the affected agency head or the senior official designated under Section 5.3(a)(1) may deny access. The Director may appeal denials to the National Security Council. The denial of access shall remain in effect pending a prompt decision on the appeal;

(5) review requests for original classification authority from agencies or officials not granted original classification authority and, if deemed appropriate, recommend presidential approval;

(6) consider and take action on complaints and suggestions from persons within or outside the Government with respect to the administration of the information security program;

(7) have the authority to prescribe, after consultation with affected agencies, standard forms that will promote the implementation of the information security program;

(8) report at least annually to the President through the National Security Council on the implementation of this Order; and

(9) have the authority to convene and chair interagency meetings to discuss matters pertaining to the information security program.

Sec. 5.3 *General Responsibilities.*

Agencies that originate or handle classified information shall:

(a) designate a senior agency official to direct and administer its information security program, which shall include an active oversight and security education program to ensure effective implementation of this Order;

(b) promulgate implementing regulations. Any unclassifed regulations that establish agency information security policy shall be published in the Federal Register to the extent that these regulations affect members of the public;

(c) establish procedures to prevent unnecessary access to classified information, including procedures that (i) require that a demonstrable need for access to classified information is established before initiating administrative clearance procedures, and (ii) ensure that the number of persons granted access to classified information is limited to the minimum consistent with operational and security requirements and needs; and

(d) develop special contingency plans for the protection of classified information used in or near hostile or potentially hostile areas.

Sec. 5.4. *Sanctions.*

(a) If the Director of the Information Security Oversight Office finds that a violation of this Order or its implementing directives may have occurred, the Director shall make a report to the head of the agency or to the senior official designated under Section 5.3(a)(1) so that corrective steps, if appropriate, may be taken.

(b) Officers and employees of the United States Government, and its contractors, licensees, and grantees shall be subject to appropriate sanctions if they:

(1) knowingly, willfully, or negligently disclose to unauthorized persons information properly classified under this Order or predecessor orders;

(2) knowingly and willfully classify or continue the classification of information in violation of this Order or any implementing directive; or

(3) knowingly and willfully violate any other provision of this Order or implementing directive.

(c) Sanctions may include reprimand, suspension without pay, removal, termination of classification authority, loss or denial of access to classified information, or other sanctions in accordance with applicable law and agency regulation.

(d) Each agency head or the senior official designated under Section 5.3(a)(1) shall ensure that appropriate and prompt corrective action is taken whenever a violation under Section 5.4(b) occurs. Either shall ensure that the Director of the Information Security Oversight Office is promptly notified whenever a violation under Section 5.4(b) (1) or (2) occurs.

Part 6

General Provisions

Sec. 6.1 *Definitions.*

(a) "Agency" has the meaning provided at 5 U.S.C. 552(e).

(b) "Information" means any information or material, regardless of its physical form or characteristics, that is owned by, produced by or for, or is under the control of the United States Government.

(c) "National security information" means information that has been determined pursuant to this Order or any predecessor order to require protection against unauthorized disclosure and that is so designated.

(d) "Foreign government information" means:

(1) information provided by a foreign government or governments, an international organization of governments, or any element thereof with the expectation, expressed or implied, that the information, the source of the information, or both, are to be held in confidence; or

(2) information produced by the United States pursuant to or as a result of a joint arrangement with a foreign government or governments or an international organization of governments, or any element thereof, requiring that the information, the arrangement, or both, are to be held in confidence.

(e) "National security" means the national defense or foreign relations of the United States.

(f) "Confidential source" means any individual or organization that has provided, or that may reasonably be expected to provide, information to the United States on matters pertaining to the national security with the expectation, expressed or implied, that the information or relationship, or both, be held in confidence.

(g) "Original classification" means an initial determination that information requires, in the interest of national security, protection against unauthorized disclosure, together with a classification designation signifying the level of protection required.

Sec. 6.2 *General.*

(a) Nothing in this Order shall supersede any requirement made by or under the Atomic Energy Act of 1954, as amended. "Restricted Data" and "Formerly Restricted Data" shall be handled, protected, classified, downgraded, and declassified in conformity with the provisions of the Atomic Energy Act of 1954, as amended, and regulations issued under that Act.

(b) The Attorney General, upon request by the head of an agency or the Director of the Information Security Oversight Office, shall render an interpretation of this Order with respect to any question arising in the course of its administration.

(c) Nothing in this Order limits the protection afforded any information by other provisions of law.

(d) Executive Order No. 12065 of June 28, 1978, as amended, is revoked as of the effective date of this Order.

(e) This Order shall become effective on August 1, 1982.

CROSS-REFERENCE *(Name, number, or subject under which this form is filed)*		
IDENTIFICATION OF RECORD	DATE	
	TO	
	FROM	
	BRIEF SUMMARY OF CONTENTS	
FILED *(Name, number, or subject under which the document itself is filed)*		

Optional Form 21
Feb. 1948
GSA Circular 260

CROSS-REFERENCE

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT *(Under which this form is filed)*	
DATE *(Under which this form is filed)*	
TO	
FROM	
BRIEF SUMMARY OF CONTENTS	
BROUGHT FORWARD and filed with the documents described below	
SUBJECT	
DATE	
TO	
FROM	

Optional Form 22 Feb. 1962 GSA Circular No. 259	CONTINUITY REFERENCE

OUT

IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT

OPTIONAL FORM 23
FEB 1962
GSA Circular No. 259

CHARGEOUT RECORD
5023-101

GPO : 1979 O - 281-187 (5040)

DATE CHARGED OUT	CHARGED TO (PERSON & OFFICE)	IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)

OUT

Figure 36.—Optional Form 23, Chargeout Record

ACCESS. (1) The availability of or the permission to consult records, archives, or manuscripts. (2) (U. S. Government) The ability and opportunity to obtain security classified or administratively controlled information or records.

APPRAISAL. (1) The process of determining the value and thus the disposition of records based upon their current administrative, legal, and fiscal use; their evidential and informational or research value; their arrangement; and their relationship to other records. (2) The monetary evaluation of gifts of manuscripts.

ARCHIVAL VALUE. The determination in appraisal that records are worthy of indefinite or permanent preservation by an archival agency. Sometimes referred to as historical, continuing, or enduring value.

ARCHIVES. (1) The non-current records of an organization preserved because of their permanent value; also referred to, in this sense, as archival materials or holdings. See also PERMANENT RECORDS. (2) The agency responsible for preserving this material. (3) The building where such materials are located.

ARCHIVIST. A person responsible for or engaged in one or more of the following activities in an archival repository; appraisal and disposition, accession, preservation, arrangement, description, reference service, exhibition, and publication.

ARRANGEMENT. (1) The order in which document are filed. (2) A logical plan for organizing records, such as numerically or alphabetically by name or subject.

CASE FILE. A file unit containing material relating to a specific transaction, event, person, project, or other subject. A legislative case file may cover one or many subjects that relate to a particular piece of legislation. An investigative case file may also cover many subjects pertaining to one main project.

CENTRAL FILE. The files of several staff members physically and/or functionally centralized and supervised in one location.

CHARGEOUT. The action of recording the removal or loan of a file to indicate its whereabouts, usually done on a specifically designed card, Optional Form 23.

CHRONOLOGICAL FILE. See READING FILE.

CLASSIFIED INFORMATION. (1) (U. S. Government) Official records or information requiring, in the interest of national security, protection against unauthorized disclosure. The degree of protection is specified by one of the following: Top Secret, Secret, Confidential, Restricted Data, Formerly Restricted Data, and (prior to 1953) Restricted. (2) in non-government organizations, sometimes used to designate information/records over which the organization desires to exercise a greater degree of security than normal.

CLOSED FILE. A file unit or series containing documents on which action has been completed and to which additional documents are not like to be added.

CONTINUITY REFERENCE FORM. A form, such as Optional Form 22, used to replace a record that has been moved to another location in a file. In a legislative case file, it often indicates that records have been brought forward from a previous Congress for attachment to material in the current Congress' file.

CORRESPONDENCE FILES. See SUBJECT FILES.

CROSS-REFERENCE. A finding aid, such a Optional Form 21, that directs the user from one place in the file to another when a particular document may be requested by more than one name, number, or subject.

CURRENT RECORDS. Records necessary for conducting the current business of an office, can be maintained at the staff person's desk or in a central location. See CENTRAL FILE and DECENTRALIZED FILE.

CUT-OFF. See FILE BREAK.

DECENTRALIZED FILES. Files of an administrative unit that are maintained at several locations, but which can be centralized intellectually through administrative controls, such as a files plan.

DEPOSIT. Archives or manuscripts placed in the physical custody of a repository without transfer of title.

DISPOSITION. The actions taken with regard to non-current records following their appraisal. The actions include transfer to a holding area for temporary storage, reproduction on microfilm, transfer to the Senate's Archives, or destruction.

DISPOSITION SCHEDULE. A document governing on a continuing basis, the retention and disposition of the recurring record series of an organization. (See Chapter III)

FILE. An accumulation of records maintained in a predetermined physical arrangement.

FILE BREAK. Termination of a file at regular periodic intervals to facilitate continuous disposal or transfer of the file series. Also called CUT-OFF.

FILES PLAN. A plan designating the physical location at which the committee files are to be maintained, the specific types of files to be maintained there, and the staff person having custodial responsibilities.

FILING. The act of putting documents into their place in accordance with an established system.

HISTORICAL VALUE. See ARCHIVAL VALUE.

HOUSEKEEPING RECORDS. Records of an office that relate to budget, accounting, personnel, supply, and similar administrative or facilitative operations common to all committee offices, as distinguished from program or substantive records that relate to the office's primary functions. See PROGRAM RECORDS.

MACHINE-READABLE RECORDS. Records whose informational content is usually in code and has been recorded on media such as magnetic discs, diskettes, drums, tapes, punched paper cards, or punched paper tapes, accompanied by finding aids knows as software documentation. The coded information is retrievable only by machine.

NON-CURRENT RECORDS. Records that are no longer required to conduct current business and therefore can be transferred to separate storage, either to attic storage, to the Senate's Archives, or may be sampled, microfilmed, or destroyed following archival appraisal.

NON-RECORD MATERIAL. Material excluded from the definition of records, such as unofficial copies of documents that are kept only for convenience or reference, stocks of publications and processed documents, and library material intended solely for reference. (Congressional Reference Service confidential reports are excluded from this category. They are permanent records.)

PAPERS. (1) A natural accumulation of personal and family materials, as distinct from records. (2) A general term used to designate more than one type of manuscript material.

PERMANENT RECORDS. Records appraised as having enduring value because they document the activities of the committee and the organization and functions of the office that created or received them and/or because they contain significant information on legislation, oversight, persons, things, problems, and conditions with which the office dealt.

PERSONAL PAPERS. The private documents accumulated by an individual, belonging to him or her and subject to his or her disposition. The records accumulated by staff in a committee office while performing the duties of the office are the records of the committee, not the staff.

READING FILE. A file containing copies of documents arranged in chronological order.

RECORD COPY. The official or record document that is so recognized, complete with enclosures or related papers, as distinguished from extra convenience or reference copies.

RECORDS. All recorded information, regardless of media or characteristics, made or received and maintained by a committee or subcommittee in pursuance of its legal obligations or in the transaction of its business.

RECORDS MANAGEMENT. That area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and disposition of records.

RECORDS MANAGER. The person responsible for or engaged in a records management program.

SERIES. File units or documents arranged in accordance with a filing system or function, result from the same activity, or have a particular form. Your files plan lists files by series.

SORTING. The process of separating papers into groups for filing according to the classification system outlined in this plan.

SUBJECT FILES. Records arranged and filed according to their general information content. Also known as correspondence files or oversight files. Consist mainly of general correspondence with agency officials but may include forms, reports, and other material that relate to office functions and not to specific legislation or committee-related projects. The purpose of a subject file is to bring together all papers on the same topic to facilitate information retrieval.

TECHNICAL REFERENCE MATERIAL. Copies of reports, studies, compilations of data, periodicals, journals, etc., that are needed for reference and information but are not made a part of the official files. Such non-record material is to be kept only as long as needed and may be replaced periodically with more current material.

TRANSITORY RECORDS. A general term for those types of records that lose their value within a short period of time and that should be separated during filing from records requiring longer retention.

APPLICATIONS SOFTWARE. Software usually provided by the vendor which allows the user to perform certain data processing or word processing tasks without having to write such software. Systems which use such software are generally multi-purpose, and may not provide a user programming capability.

ARCHIVE. A procedure for transferring information from an on-line storage diskette or memory area to an off-line storage medium. This is distinct from "archives," meaning permanent records. Information transferred to off-line storage must be appraised for historical value. If appraised as permanent, it must be transferred to an archival storage medium.

ARCHIVAL STORAGE MEDIUM. Material that data are written and stored on that can be preserved for long-term use when given proper preservation treatment. For records created and stored on magnetic media, the medium is paper, microfilm, or nine-track magnetic tape that meets certain specifications.

BACK UP. A method of protecting valuable information. A back up may take the form of 1) duplicating tapes or diskettes on which information is stored; 2) providing a system with an alternative power source to protect information in volatile memory in the event of a power failure; and 3) providing a redundant system.

CAPACITY. A term describing the number of bits encoded on a magnetic disk or diskette for the storage of information, usually expressed in number of characters. Capacity is governed by the number of serial bits per inch recorded and the number of tracks on the media.

COM. Computer Output Microfilm—microfilmed versions of text containing the same types of information found in paper printouts.

COMMUNICATIONS NETWORK. The connection of separate communicating devices through transmission lines.

COMPATIBILITY. A characteristic word or data processing equipment which permits one machine to accept and process information prepared by another machine without conversion or code modification.

CONFIGURARION. The components which make up a word processing system. Most systems include a keyboard, a monitor, magnetic storage (disks or diskettes), and a printer. Some configurations may also include a minicomputer for processing information.

CENTRAL PROCESSING UNIT. The heart of a computer that controls the interpretation and execution of instructions.

DATA BASE. A collection of data items processed by one or more applications. The discrete units of information that the computer manipulates.

DOCUMENTATION. Records required to convert human readable information into encoded data that the computer can read, and to decode machine readable information into human readable form. Documentation is an organized set of documents needed to plan, develop, operate, maintain, and use machine readable records and to explain the arrangement, content, and coding of the information in a machine readable file.

ELECTRONIC MAIL. The generation and transmission of textual information by electronic means.

FILE. In records processing, a collection of data items treated as a unit. In word processing, a segment of text that can be retrieved from storage is usually one document long.

FILE ORGANIZATION. The manner in which files are arranged or formatted on a storage medium.

FORMAT. From the merger of two words—FORM of MATerial—designating the predetermined arrangement and coding of information in a machine readable record or in the computer's output.

HARDWARE. The mechanical or electronic equipment used with a series of software programs.

INDEX. A list of documents contained on a unit of storage.

INFORMAITON PROCESSING. A term that encompasses both word processing and data processing which is used to describe the entire scope of operations performed by a computer.

INPUT. The information to be processed by a computer.

MAGNETIC MEDIA. A variety of magnetically coated materials used by word processing systems for text and program storage. Main types of magnetic media include 1) magnetic cards; 2) cartridges; 3) floppy diskettes; 4) hard disks (removable); and 5) Winchester disks (nonremovable).

OCR. Optical Character Reader—a machine that can read documents.

OUTPUT. Any product of information processing. Output can be directed by a computer to appear on a terminal, a printer, or computer output microfilm.

RECORD. A collection of related data elements treated as a unit.

RECORD PROCESSING. Refers to the manipulation of files of information, such as selecting from certain fields and resequencing these fields into different categories.

SOFTWARE. A term coined to contrast the computer programs with the "iron" of the hardware. Software is a stored set of instructions which operates the physical equipment and manipulates the data. See also Applications Software.

SOFTWARE DEPENDENT. Any machine readable file that requires particular software in order to access, retrieve, and process information in the file.

TIME SHARING. The sharing of power and costs of a large computer among a number of users, each equipped with terminals.

WORD PROCESSING SYSTEM. Refers to the specific hardware, software, and peripheral devices used to perform word processing tasks.

Rules	*Examples*
1. PERSONAL NAMES.	
a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.	Arthur B. Anglin—filed *Anglin* Arthur B.
b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetic sequence.	David de Valera—filed *de Valera* David.
c. HYPHENATED surnames of individuals are filed as one complete surname.	Blanche Duff-Gordon—filed *Duff-Gordon* Blanche.
d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.	*Block* Thunder. *Henry* George.
e. MARRIED WOMEN'S names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine *Adams* Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens).	*Laurens* Josephine Mary (Mrs) (Mrs. William A).
Cross-reference:	*Laurens* William A (Mrs)—filed Laurens Josephine Mary.
f. ABBREVIATED first names are filed as though they were spelled in full.	Chas. Brown—filed *Brown* Charles.
g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname used as the first name. Nicknames with no recognizable surnames are filed as they are written.	Red Larson—filed *Larson* Red. *Boston* Jimmie.
h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles, Col., Major; professional title, Dr., Prof.; official titles, governor, mayor, titles of respect, Rev., Hon.; foreign titles, Lord; degrees, LL.D., Ph.D). Titles followed by one or more names not recognizable as surnames are filed in order as written.	Dr. Charles C. Brown—filed *Brown* Charles C (Dr.). Father Pierre--filed *Father* Pierre.
i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.	C. Albert Brown, Jr.—filed *Brown* C Albert (Jr.).
2. FIRMS, corporations, companies, associations, institutions, governments, and geographic names.	
a. COINED names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.	A A A Chemical Co.—filed *A A A* Chemical Company. Aunt Jemima's Pancake Flour—filed *Aunt* Jemima's Pancake Flour.
b. SURNAMES are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.	Charles Brown & Company—filed *Brown* Charles (&) Company.
c. PREFIXES on firm and geographic names, such as Co-, D', d', de, des, Di, El, L', la, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.	De la Verne Co.—filed *De la Verne* Company. Los Angeles, Calif.—filed *Los Angeles,* California.
d. HYPHENATED firm names are filed as one complete name.	Air-E-Ator Ventilating Co.—filed *Air-E-Ator* Ventilating Company.
e. COMPOUND names of firms that may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words, such as Inter State; Mid West; South Eastern; South Side; North East.	Inter State Warehousing Co.—filed *Inter State* Warehousing Company.
f. COMPOUND GEOGRAPHIC firm names are filed as written. Abbreviations are filed as though spelled in full.	Ft. Wayne Paper Co.—filed *Fort Wayne* Paper Company. N.J. Coal & Coke Co.—filed *New Jersey* Coal (&) Coke Company.
g. ABBREVIATIONS representing names or parts of names of firms, of Government agencies, fraternal and similar organizations are filed as though spelled in full.	Amer. Society for Civic Education—filed *American* Society (for) Civic Education. E. 59th St. Garage—filed *East* Fifty Ninth Street Garage.
h. APOSTROPHE S ('s) is not considered in filing, but s apostrophe (s') is considered in filing.	Anglin's Beauty Shop—filed *Anglin's* Beauty Shop. Anglins' Automobile Co.—filed *Anglins'* Automobile Company.
i. ARTICLE, CONJUNCTION, OR PREPOSITION, such as the, and, &, of, for, on, by, when it is part of a firm name is enclosed in parentheses and disregarded in filing. When "Ye" is used, it is filed as written. Foreign language articles are not translated and are filed as written.	The Calico Cat—filed *Calico* Cat (The). Il Progresso Italo--filed *Il Progresso* Italo.
j. STATE, COUNTY, CITY, TOWN, or a similar word when appearing as the first word in the name of a firm, institution, association, etc., and not referring to a government establishment, is filed as written.	City Letter Co.—filed *City Letter Company.* County of Wall Surveying Co.—filed *County* (of) Wall Surveying Company.

Rules	*Examples*
k. NUMERALS of one or two digits that make up a name or the beginning of a name are read in hundreds. Considered only the lowest number in captions beginning with inclusive numbers. Captions beginning with numbers spelled in full or abbreviated are filed as though spelled in full. Numbers of two or more words are filed as one word.	86 Madison Ave. Realty Co.—filed *Eighty-six* Madison Avenue Realty Company. 1198 Park Ave. Corp.—filed *Eleven Hundred Ninety-eight* Park Avenue Corporation. 92-96 W. 18th St. Corp.—filed *Ninety-two* (96) West Eighteen Street Corporation.
l. FIRM names beginning with such phrases as Board of, Bureau of, Commission for, which do not refer to any government establishment or function, are filed as written.	Committee for Economic Development—filed *Committee* (for) Economic Development.
m. STANDARD TERMS, such as Bros., Co., Corp., Ltd., Inc., names of states and cities, often abbreviated, affect the filing sequence. When abbreviated they are filed as though spelled in full. In foreign firm names abbreviations of company, brothers, etc., whether they appear before or after the names are filed as written. They are not translated.	Brown Bros.—filed *Brown* Brothers Cie Generale Transatlantique—filed Cie Generale Transatlantique.
n. CHANGE of firm name due to successorship should be filed under the current firm name and a permanent cross-reference made under the former name.	Clairo Company formerly Van Ess Products Co.—filed *Clairo* Company (Formerly Van Ess Products Co.).
Cross-reference:	*Van Ess* Products Company—filed Clairo Company.
o. MULTIPLE names. Firms doing business under two titles are filed under the more active or important name and a permanent cross-reference is made under the other name. This includes firms "doing business as," written "d/b" or "d/b/a."	Max Jensen doing business as Ace Van Lines—filed *Ace* Van Lines.
p. PARTNERSHIP AND FIRM names that contain the full names of two or more individuals are filed by the name of the first individual mentioned.	Charles Brown & Henry Jones—filed *Brown* Charles (& Henry Jones).
q. VARIOUS LOCATIONS. The same firm name appearing at various locations is filed by name of firm and then by city. Consider the State when there is a duplication of city names.	Allied Van Lines, Denver, Colo.—filed *Allied* Van Lines *Denver* Colorado. Allied Van Lines, Portland, Me.—filed *Allied* Van Lines *Portland* Maine.
r. SUBSIDIARIES OR DIVISIONS. Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.	Truscon Steel Co. Division of Republic Steel Corp.—filed *Republic* Steel Corporation Truscon Steel Co. Division.
s. BANKS, BOARDS OF TRADE, NEWSPAPERS, etc. Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore filed by location: city first, the state in parentheses, followed by the name of the bank, board of trade, etc.	Board of Trade Chicago, Ill.—*Chicago* (Ill.) Board of Trade.
t. FEDERAL DEPARTMENT NAMES. Federal Government departments and subdivisions thereof are filed by name in the alphabetic name file disregarding the parent organization.	
U.S. Coast Guard	Filed *Coast Guard* (U.S.)
Office of Management and Budget:	Filed *Management and Budget* Office (of).
Great Lakes Naval Training Station:	Filed *Great* Lakes Naval Training Station.
Executive Office of the President	Filed *President* Executive Office (of The).
3. FRATERNAL or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organization may be cross-referenced.	Veterans of Foreign Wars, Portsmouth Post, N.H.—filed *Portsmouth* (N.H.) Post, Veterans (of) Foreign Wars.
4. INSTITUTION names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.	Andrew Carnegie Library—filed *Carnegie* Andrew Library, University of Washington—filed *Washington* University (of).
5. SUBDIVISIONS of state, county, municipal or foreign governments, such as departments, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.	Water Dept. Fairfax County, Va.—filed *Fairfax* County (Va.) Water (Dept.).

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